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

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I. Preamble

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

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

Should those university rules and policies change, the college 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.

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

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

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

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

II. College Mission

The mission of the College of Optometry at The Ohio State University includes the following objectives:

- To educate excellent optometrists who reflect our diverse communities through our professional, residency, and continuing education programs.
- To conduct excellent research in vision science, through our graduate education and research programs.
- To provide excellent optometric care to the community, through our teaching clinics, externship sites, and residency programs.

- An additional mission and goal shared with the Graduate School of The Ohio State University is: To educate and train ophthalmic and vision scientists for the advancement of those teaching, research, and service missions above.

III. Definitions

A. Committee of the Eligible Faculty

Faculty members eligible to vote on all appointment (hiring), reappointment, contract renewal, promotion, or promotion and tenure reviews include only those whose primary appointments reside within the College of Optometry. This committee excludes all college faculty with decanal titles, the executive vice president and provost, and the president.

1. Tenure-Track Faculty

The eligible faculty for new appointment reviews of tenure-track faculty consists of all tenured faculty. For the determination of rank for new appointments at the senior level (associate professor or professor), a second vote is taken by tenured faculty who are at or above the rank under consideration.

The eligible faculty for tenure, promotion, or tenure and promotion reviews of tenure-track faculty is all tenured faculty who are at or above the rank under consideration.

2. Clinical Faculty

The eligible faculty for new appointment reviews of clinical faculty consists of all tenured faculty and all non-probationary clinical faculty. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion of clinical faculty consists of all tenured faculty at or above the rank under consideration and all non-probationary clinical faculty at or above the rank under consideration.

3. Research Faculty

The eligible faculty for new appointment and reappointment reviews of research faculty consists of all tenure-track and all non-probationary research faculty. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of any equal rank to or higher than the candidate and all non-probationary research faculty of equal rank to or higher than the candidate.

4. Associated Faculty

The eligible faculty for new appointment and promotion of associated faculty consists of all tenured faculty and all non-probationary clinical faculty. The reappointment of associated faculty is decided by the dean in consultation with the Executive Committee.

5. Courtesy Faculty

The eligible faculty for new appointment and renewal of courtesy faculty consists of the committee of the eligible faculty for the corresponding non-courtesy faculty title.

6. Conflict of Interest

A conflict of interest exists when an eligible faculty member is related to the 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 (e.g., 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 since the last promotion will be expected to withdraw from a promotion review of that candidate. Internal candidates for a faculty position must recuse themselves from the interview process of any candidates for the same position because of the inherent conflict of interest.

7. Minimum Composition
In the event that the college does not have at least three eligible faculty members who can undertake a review, the dean will appoint a faculty member from another college in the health sciences or other department/college, as appropriate.

B. Promotion and Tenure Committee
The purposes of the college Promotion and Tenure Committee are to ensure that high standards of excellence are maintained in the college promotion and tenure process and to serve as an advisory body to the dean on matters concerning faculty promotion and/or tenure.

The Eligible Faculty in the College of Optometry serve as the Promotion and Tenure Committee, as follows:

1. Tenure-track faculty promotion to Associate/Tenure: All tenured faculty
2. Tenure-track faculty promotion to Professor: All tenured professors
3. Clinical faculty promotion to Associate: All clinical and tenure-track associate professors and professors
4. Clinical faculty promotion to Professor: All clinical and tenure-track professors
5. Research faculty promotion to Associate: All tenured faculty, all research faculty associate professors and professors
6. Research faculty promotion to Professor: All tenured professors, all research faculty professors

In each individual P&T case, the dean will appoint a three-member P&T Sub-committee of the P&T Committee that will extensively evaluate each case and make a recommendation to the entire P&T committee. The P&T Sub-committee must have the following members for each type of promotion as follows:

1. Tenure-track faculty promotion to Associate/Tenure: three tenured faculty members, not including any faculty member with a decanal title, one of whom must be an optometrist
2. Tenure-track faculty promotion to Professor: three tenured professors, one of whom must be an optometrist
3. Clinical faculty promotion to Associate: three members from the tenured and non-probationary clinical faculty. It must include at least one tenured faculty member who is an optometrist and at least one clinical faculty member with the rank of associate clinical professor or higher.
4. Clinical faculty promotion to Professor: three members from the tenured and non-probationary clinical faculty. It must include at least one tenured professor who is an optometrist and at least one clinical faculty member with the rank of clinical professor .

The Chair of the Eligible Faculty will be a tenured Professor elected by the Eligible Faculty for a two-year term (renewable without limit) and will also serve as the Chair of the P&T committee. The Procedures Oversight Designee is appointed by the dean and must be a different person than the Chair of the Eligible Faculty. The Chair of the Eligible Faculty and the Procedures Oversight Designee will serve to advise the dean on matters of promotion and tenure. The person who serves as Chair of the Eligible Faculty and the Procedures Oversight Designee can serve multiple consecutive terms if elected/appointed, respectively. If the Chair of the Eligible Faculty or the Procedures Oversight Designee have a conflict of interest in a specific case, they should voluntarily withdraw from the process. If they do not, the dean will remove the person in conflict. The committee's assessment is advisory to the dean.

C. Quorum
The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the dean has approved an off-campus assignment.

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

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

1. Appointment
A positive recommendation from the eligible faculty for appointment is secured when a simple majority of the votes cast are positive.

2. Reappointment, Promotion and Tenure, Promotion, and Contract Renewal
A positive recommendation from the eligible faculty for promotion and tenure, promotion, and fourth year reviews is secured when two-thirds of the votes cast are positive. A positive recommendation for reappointment and contract renewal requires a simple majority.

IV. Appointments

A. Criteria
The college is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the college. 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 college. Candidates for faculty appointment must also possess the willingness to be a strong participant in the cooperative process of the education of students and service to the optometric profession. This requires the personal qualities of commitment, professionalism, collegiality, intellectual prowess, teaching skill, and service acumen. Although individual faculty may have specialized interests, the college requires adequate expertise among its faculty to fully meet the required breadth of teaching, research, service, and clinical care. Therefore, to achieve excellence, the criteria for appointment of faculty members must measure the qualities of the candidate against the needs of the college’s programs. 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 college. The search is either cancelled or continued, as appropriate to the circumstances.

1. Tenure-track Faculty
Instructor. Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The college will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end 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 college’s eligible faculty, 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. In addition all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. An earned terminal degree or other professional or graduate degree appropriate to the appointee’s area of expertise is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the college and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the faculty member requests non-mandatory review and the P&T Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

Faculty Rules provide for the guaranteed extension of the tenure clock following the birth of a child, the adoption of a child under six years of age, or the occurrence of unforeseen life events. Faculty must notify the dean within one year of the event to obtain this guaranteed extension.

Associate Professor and Professor. Appointment offers at the rank of associate professor or professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs. Appointment at senior rank requires that the individual meet, at a minimum, the college's criteria in teaching, scholarship, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency. Offers to foreign nationals require prior consultation with the Office of International Affairs.

2. Clinical Faculty

Except for those appointed at the rank of instructor, for whom a contract is limited to three years, the initial contract for all other clinical faculty members must be for a period of five years. The initial contract is probationary, with reappointment considered annually. Second and subsequent contracts for assistant and associate clinical professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for clinical professors must be for a period of at least three years and no more than eight years. Tenure is not granted to clinical faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the college wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period.

Assistant Clinical Professor. An earned doctorate and the required licensure/certification, as needed in their specialty, are the minimum requirements for appointment at the rank of assistant clinical professor. The candidate may have completed residency training and/or graduate training at the Masters level and should be considered sufficiently experienced clinically to be qualified to supervise student interns or externs.

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

3. Research Faculty

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

Research appointments are probationary during the initial contract period (Faculty Rule 3335-7-35). Probationary faculty members are appointed on an annual basis. Appointments will be for a period of one to five years. The letter of offer must explicitly state the expectations for salary support and generally will require 100% salary recovery. It is expected that salary recovery/support will be derived from extramural funds. Brief lapses in extramural funding may be covered using other funds if approved by the dean in consultation with the faculty.

Research Assistant Professor. Appointment at the rank of research assistant professor requires that the individual have a doctorate degree appropriate to the appointee’s area of expertise and a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program.

Research Associate Professor and Research Professor. Appointment at the rank of research associate professor or research professor requires that the individual have a doctorate degree appropriate to the appointee's area of expertise and meet, at a minimum, the college's criteria for promotion to these ranks.

4. Associated Faculty

University rule 3335-5-19-D describes associated faculty. Associated faculty members have adjunct, clinical practice, lecturer, or visiting titles. Associated faculty appointments are made for the period in which the service is to be provided, not to exceed three years, and are eligible for renewal.

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

Clinical Instructor of Optometric Practice, Clinical Assistant Professor of Optometric Practice, Clinical Associate Professor of Optometric Practice, Clinical Professor of Optometric Practice. Associated clinical appointments may either be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated academic service to the college for which a faculty title is appropriate. The rank of Instructor is typically used for those whose appointments expire at the end of their training period, such as Advanced Practice Fellows, residents, and graduate students. Other Associated clinical ranks are determined by applying the criteria for appointment of clinical faculty. Associated clinical faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of clinical faculty.

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

Senior Lecturer. Appointment as senior lecturer requires that the individual have either 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 instruction. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer should generally not exceed one year.

Associated Assistant Professor, Associated Associate Professor, Associated Professor with FTE below 50%. Appointment at associated faculty positions with tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) 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. Associated faculty appointments may be internal or external (uncompensated; i.e. an individual whose primary appointment is outside of the college, who significantly participates in the teaching responsibilities of senior optometry students during their extern site rotations).

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

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 60 years or older with ten or more years of service or at any age with 25 or more years of service.

Faculty will send a request for emeritus faculty status to the dean 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 dean. The dean will then forward a recommendation to the executive vice president and provost. 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

Any faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State University department who has active involvement in the optometric and/or graduate programs of the College. A proposal that describes the uncompensated academic service to the college justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the dean extends an offer of appointment. The dean reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting. These faculty members must meet the criteria established for the faculty ranks in their home college. Courtesy faculty members are not eligible for college committee membership or voting on matters involving appointments, promotion, or tenure.

B. Procedures

1. Tenure-track Faculty

All faculty searches for tenure-track appointments require a national search. The request to waive this requirement must be approved by the college and the Office of Academic Affairs in advance.

Search procedures must entail substantial faculty involvement and must be consistent with the OAA Policy on Faculty Recruitment and Selection. Searches for tenure-track faculty proceed as follows. The dean of the college provides approval for the college 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 dean also appoints a search committee consisting of three or more tenured faculty, one of whom must be an optometrist. The dean also appoints the chair of the committee.

The search committee:

- Develops a search announcement for internal posting in the university Personnel Postings through the Office of Human Resources Employment Services and external advertising. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, or salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search. A majority of the faculty must approve the job description and timeline for the search process.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If

there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a national professional journal or other publication. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally professional journal. The search committee conducts the faculty search, may solicit external letters of reference, selects candidates to visit the College, and determines their visit agenda. All candidates interviewing for a particular position must follow the same interview format. The candidate's application materials and the visit agenda must be available to the faculty prior to the candidate's visit. The visit agenda should provide the opportunity for the candidate to meet with faculty in both professional and social settings. Specific agenda items must include a closed interview with the candidate conducted by the search committee, a meeting with the College executive committee, a meeting with the dean, an informal forum open to all college faculty and graduate students, and a formal presentation open to the entire University community. This presentation does not have to be advertised beyond the college level.

Following completion of on-campus interviews, the Committee of Eligible Faculty should submit their perceptions and preferences to the search committee. The search committee will then make a recommendation to the dean regarding whether a candidate should be put up for a vote by the eligible faculty. In the case of multiple candidates for a single position, the search committee will provide the dean an unranked list of proposed candidates. The dean then decides whether a candidate(s) will be put up for a vote by eligible faculty. For an appointment proposed at an advanced rank, the eligible faculty must vote on the appropriateness of the proposed rank. Likewise, they must vote to approve any prior service credit.

The letter of offer for faculty to be hired to advanced rank and/or with prior service credit must be approved by the Office of Academic Affairs prior to being sent to the candidate. In addition to a copy of the letter of offer, a detailed curriculum vitae, external evaluations, if required (no more than half of which should be suggested by the candidate) and a letter from the chair of the Committee of the Eligible Faculty that recaps the discussion of the committee and the results of the votes are required by the Office of Academic Affairs for its review.

In the event that more than one candidate achieves the level of support required to extend an offer, the dean decides which candidate to approach first. The details of the offer, including compensation, are determined by the dean. A copy of the letter of offer must be provided to the chair of the search committee at the time of the offer. If the candidate does not accept the offer of appointment, the dean may select another candidate from the short list of candidates recommended by the search committee. The voting process must then be repeated. This process may be iterated, at the discretion of the dean, until the search committee's candidate list is exhausted.

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs. The university does not grant tenure in the absence of permanent residency status. The college will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

2. Clinical Faculty

Search procedures must entail substantial faculty involvement and be consistent with the OAA Policy on Faculty Recruitment and Selection. Searches for clinical faculty proceed as follows. The dean of the college provides approval for the college 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 dean also appoints a search committee consisting of three or more tenure-track or clinical faculty, two of whom must be optometrists. The dean also appoints the chair of the committee and may waive the requirement for a national search.

The search committee:

- Develops a search announcement for internal posting in the university Personnel Postings through the Office of Human Resources Employment Services and external advertising. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, or salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search. A majority of the faculty must approve the job description and timeline for the search process.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a national professional journal or other publication. The search committee conducts the faculty search, may solicit external letters of reference, selects candidates to visit the College, and determines their visit agenda. All candidates interviewing for a particular position must follow the same interview format. The candidate's application materials and the visit agenda must be available to the faculty prior to the candidate's visit. The visit agenda should provide the opportunity for the candidate to meet with faculty in both professional and social settings. Specific agenda items must include a closed interview with the candidate conducted by the search committee, a meeting with the College executive committee, a meeting with the dean, an informal forum open to all College faculty and graduate students, and a formal presentation open to the entire University community. This presentation does not have to be advertised beyond the college level.

Following completion of on-campus interviews, the Committee of Eligible Faculty should submit perceptions and preferences to the search committee. The search committee will then make a recommendation to the dean regarding whether a candidate should be put up for a vote by eligible faculty. In the case of multiple candidates for a single position, the search committee will provide the dean an unranked list of proposed candidates. The dean then decides whether a candidate(s) will be put up for a vote by eligible faculty. For an appointment proposed at an advanced rank, the eligible faculty must vote on the appropriateness of the proposed rank. Likewise, they must vote to approve any prior service credit.

The letter of offer for faculty to be hired to advanced rank and/or with prior service credit must be approved by the Office of Academic Affairs prior to being sent to the candidate. In addition to a copy of the letter of offer, a detailed curriculum vitae, five external evaluations if required (no more than half of which should be suggested by the candidate) and a letter from the chair of the Committee of Eligible Faculty that recaps the discussion of the committee and the results of the vote is required by the Office of Academic Affairs for its review.

In the event that more than one candidate achieves the level of support required to extend an offer, the dean decides which candidate to approach first. The details of the offer, including compensation, are determined by the dean. A copy of the letter of offer must be provided to the chair of the search committee at the time of the offer. If the candidate does not accept the offer of appointment, the dean may select another candidate from the short list of candidates recommended by the search committee. The voting process must then be repeated. This process may be iterated, at the discretion of the dean, until the search committee's candidate list is exhausted.

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs.

3. Research Faculty

Search procedures must entail substantial faculty involvement and be consistent with the OAA Policy on Faculty Recruitment and Selection. Searches for research faculty proceed as follows. The dean of the college provides approval for the college 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 dean also appoints a search committee consisting of three non-probationary faculty members holding the rank of associate professor or professor with at least two from the tenure-track and up to

one from the research faculty. The dean also appoints the chair of the committee and may waive the requirement for a national search.

The search committee:

- Develops a search announcement for internal posting in the university Personnel Postings through the Office of Human Resources Employment Services and external advertising. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, or salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search. A majority of the faculty must approve the job description and timeline for the search process.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertising using at least one 30-day online ad in a national professional journal or other publication. The search committee conducts the faculty search, may solicit external letters of reference, selects candidates to visit the College, and determines their visit agenda. All candidates interviewing for a particular position must follow the same interview format. The candidate's application materials and the visit agenda must be available to the faculty prior to the candidate's visit. The visit agenda should provide the opportunity for the candidate to meet with faculty in both professional and social settings. Specific agenda items must include a closed interview with the candidate conducted by the search committee, a meeting with the College executive committee, a meeting with the dean, an informal forum open to all College faculty and graduate students, and a formal presentation open to the entire University community. This presentation does not have to be advertised beyond the college level.

Following completion of on-campus interviews, the Committee of Eligible Faculty should submit perceptions and preferences to the search committee. The search committee will then make a recommendation to the dean regarding whether a candidate should be put up for a vote by eligible faculty. In the case of multiple candidates for a single position, the search committee will provide the dean an unranked list of proposed candidates. The dean then decides whether a candidate(s) will be put up for a vote by eligible faculty. For an appointment proposed at an advanced rank, the eligible faculty must vote on the appropriateness of the proposed rank. Likewise, they must vote to approve any prior service credit.

The letter of offer for faculty to be hired to advanced rank and/or prior service credit must be approved by the Office of Academic Affairs prior to being sent to the candidate. In addition to a copy of the letter of offer, a detailed curriculum vitae, five external evaluations, if required (no more than half of which should be suggested by the candidate), and a letter from the chair of the Committee of the Eligible Faculty that recaps the discussion of the committee and the results of the vote is required by the Office of Academic Affairs for its review.

In the event that more than one candidate achieves the level of support required to extend an offer, the dean decides which candidate to approach first. The details of the offer, including compensation, are determined by the dean. A copy of the letter of offer must be provided to the chair of the search committee at the time of the offer. If a candidate is rejected by the faculty vote or if the candidate does not accept the offer of appointment, the dean may select another candidate from the short list of candidates recommended by the search committee. The voting process must then be repeated. This process may be iterated, at the discretion of the dean, until the search committee's candidate list is exhausted.

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs.

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 dean, and the executive vice president and provost. The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual's career goals and activities have changed.

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

5. Associated Faculty
The appointment and promotion of all associated faculty are decided by the dean in consultation with the Executive Committee followed by a vote of the eligible faculty. The review and reappointment of all associated faculty are decided by the dean in consultation with the Executive Committee.

Compensated associated appointments are made for up to three years. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Visiting appointments may be made for one term of up to three years or on an annual basis for up to three consecutive years.

Lecturer and senior lecturer appointments are usually made on an annual basis. After the initial appointment, and if the college's curricular needs warrant it, a multiple year appointment may be offered.

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

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

6. Courtesy Appointments for Faculty
Any faculty member may propose a courtesy appointment for a tenure-track, clinical, or research faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to this college justifying the appointment is considered by the eligible faculty. If the proposal is approved by the eligible faculty, the dean extends an offer of appointment. The dean reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the eligible faculty for a vote.

V. Annual Performance and Merit Review Procedures

The annual performance and merit review of a faculty member is the responsibility of the dean in the case of tenure-track, clinical, and research faculty and is the responsibility of the associate dean for academic affairs in the case of associated faculty.

- The annual reviews of every faculty member are based on expected performance in teaching, scholarship, and service as set forth in the College'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.
- Annual performance and merit reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment.
- Per Faculty Rule 3335-3-35, the dean/associate dean for academic affairs are required to include a reminder in annual review letters that all faculty have the right (per Faculty Rule 3335-5-04) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

The College of Optometry follows the requirements for annual performance and merit reviews as set forth in the Policy on Faculty Annual Review.

A. Documentation

For their annual performance and merit review, the college requires faculty members to submit the following documents to the dean/associate dean for academic affairs no later than the date specified by the dean (typically midway through the summer term).

The documentation must in the two summary documents listed below:

- updated curriculum vitae, which will be made available to all faculty in an accessible place
- updated Office of Academic Affairs dossier outline (Assistant and Associate) or summary letter (Professor) per Volume 3 of the Office of Academic Affairs' Policies and Procedures Handbook

Other documentation of the faculty member's achievements must be available to the dean upon request.

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

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

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

Under no circumstances should faculty solicit evaluations from any party for the purposes of their 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

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

The annual review should assess the faculty member's continuing development in teaching, scholarship, and service. The dean appoints an annual review committee of three tenured faculty members without decanal titles, one of whom must be an optometrist, to assess the progress of each probationary faculty member. The committee is appointed initially at the time of hire and should ideally retain at least two continuing members between subsequent years. Members of this committee also serve as mentors to the candidate. Faculty members with a family or comparable relationship or a close professional relationship that may give rise to a conflict of interest with a candidate cannot serve on the annual review committee of that candidate.

The annual review committee relies on peer review of teaching, as conducted by the Peer Review of Teaching Committee (see Section IX.B.). The annual review committee may obtain external evaluations of the faculty member's

teaching, research, or service for inclusion in its report. The committee provides the dean with a written annual review letter evaluating the progress of the probationary faculty member toward tenure.

Every probationary tenure-track faculty member is reviewed annually by the dean, who meets with the faculty member to discuss their performance, future plans, and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. The dean will provide a separate written assessment of the faculty member's performance and professional development. The dean's assessment letter should comment on the faculty member's performance as measured against expectations, which must reasonably reflect the faculty member's teaching and service assignments and the time and resources available for research. The faculty member receives a copy of both evaluation letters and an indication as to whether they will be appointed for an additional year.

If the dean recommends renewal of the appointment, this recommendation is final. The dean'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 annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if they choose).

If the dean recommends nonrenewal, the Fourth-Year Review process per Faculty Rule 3335-6-04 is invoked. Following completion of the comments process, the complete dossier is forwarded to the Office of Academic Affairs for review and the executive vice president and provost makes the final decision on renewal or nonrenewal of the probationary appointment.

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

The 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 fourth-year review committee forwards a record of the vote and a written performance review to the dean. The dean conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. Following completion of the comments process (per Faculty Rule 3335-6-04), the complete dossier is forwarded to the Office of Academic Affairs for review and the executive vice president and provost makes the final decision on renewal or nonrenewal of the probationary appointment.

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

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

Affairs Policies and Procedures Handbook. When requested by the candidate, it is the duty of the annual review committee to make recommendations with regard to time to be excluded from the candidate's probationary period.

Faculty Rules provide for the guaranteed extension of the tenure clock following the birth of a child, the adoption of a child under six years of age, or the occurrence of unforeseen life events. Faculty must notify the dean within one year of the event to obtain this guaranteed extension.

C. Tenured Faculty

A written annual review is required for each tenured faculty member. The Office of Academic Affairs requires a scheduled face-to-face meeting between the dean/designee for all faculty members, including tenured faculty.

Associate professors should prepare an annual report in the form of a dossier consistent with that outlined by the Office of Academic Affairs' Policies and Procedures Handbook. The dean conducts an independent assessment; meets with the faculty member to discuss their performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors should prepare a four-page annual report containing the following components: 1) instruction: a listing of course assignments for each contact semester, by course number and duties, with special emphasis on innovations, and any problems needing attention; 2) research: a list of publications and presentations over the past year; manuscripts published, accepted and submitted; funding of research by category and graduate student teaching involvement; 3) service: within the college, university and profession; and 4) future goals: plans for teaching, scholarly activity and service in the next academic year. Professors are reviewed annually by the dean, 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 and ongoing outcomes in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by ongoing national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and ongoing outstanding service to the college, the university, and the profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, in their interactions with colleagues and students, and in their 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 dean prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

D. Clinical Faculty

The dean appoints an annual review committee for probationary clinical faculty. The annual review should assess the faculty member's continuing development in teaching, scholarship, and service. The annual review committee consists of three members from the tenure-track and clinical faculty. It must include at least one tenured faculty member who is an optometrist and at least one clinical faculty member with the rank of associate clinical professor or higher.

The annual review committee is appointed initially at the time of hire and should ideally retain at least two continuing members between subsequent years. Members of this committee also serve as mentors to the candidate.

A written annual review is required for each clinical faculty member. The Office of Academic Affairs requires a face-to-face meeting between the dean/designee for all faculty members.

Assistant and associate clinical professors should prepare a dossier consistent with that outlined by the Office of Academic Affairs' Policies and Procedures Handbook. The dean conducts an independent assessment; meets with the faculty member to discuss their performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Clinical professors should prepare a four-page annual report containing the following components: 1) instruction: a listing of course and clinic assignments for each contact semester, by course number and duties, with special emphasis on innovations, and any problems needing attention; 2) scholarship: a list of publications over the past year; manuscripts published, accepted, and submitted; funding of research by category and graduate student teaching involvement; 3) service: within the college, university and profession; and 4) future goals: plans for teaching, research, and service in the next academic year. Clinical professors are reviewed annually by the dean, who meets with the faculty member to discuss their performance and future plans and goals. The annual review of clinical professors is based on their having achieved sustained excellence and ongoing outcomes in the discovery and dissemination of new knowledge relevant to the mission of the college, as demonstrated by ongoing national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and ongoing outstanding service to the college, the university, and the profession of optometry, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, in their interactions 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 an associate clinical professor or a clinical professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The dean prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

1. Initial Appointment
In the penultimate contract year of a clinical faculty member's initial appointment, the faculty member must undergo a review by the eligible faculty. The review will follow the same procedures as a fourth-year review for tenure-track faculty. There is no presumption of renewal of contract. Positive decisions by the college to reappoint clinical faculty will be approved by OAA without review and forwarded to the Board of Trustees for final approval. Upon approval by the Board of Trustees, the clinical faculty member is no longer probationary. 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.

2. Second and Subsequent Appointments
The dean must inform the faculty member as to whether a new appointment will be extended by the end of the penultimate year of each appointment period. There is no presumption of renewal of contract. If the initial decision from the dean is to reappoint the faculty member to another term, that decision will be final and will be forwarded to OAA and the Board of Trustees for approval. 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
A written annual review is required for each research faculty member. The Office of Academic Affairs requires a face-to-face meeting between the dean/designee for all faculty members, including research faculty.

Research assistant professors and research associate professors should prepare an annual report in the form of a dossier consistent with that outlined by the Office of Academic Affairs' Policies and Procedures Handbook. The dean conducts an independent assessment; meets with the faculty member to discuss their performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Research professors should prepare a four-page annual report containing the following components: 1) research: a list of publications over the past four quarters; manuscripts published, accepted, and submitted; funding of research by category and graduate student teaching involvement; 2) service: within the college, university and profession; and 3) future goals: plans for research and service in the next academic year. Research professors are reviewed annually by the dean, who meets with the faculty member to discuss their performance and future plans and goals. The annual review

of research professors is based on their having achieved sustained excellence and ongoing outcomes in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by ongoing national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and ongoing outstanding service to the college, the university, and the optometric 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 research professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The dean prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

The dean appoints an annual review committee of three faculty members to assess the progress of each probationary research faculty member. At least two members of the committee must be tenured faculty, but one may be a research faculty member of a higher rank than the probationary research faculty member. The committee is appointed at the time of hire and should ideally retain at least two continuing members between subsequent years. Members of this committee also serve as mentors to the candidate. The review is based primarily on the research activities of the faculty member. In addition, other activities consistent with the mission of the College should be considered in this annual review. In the penultimate year of the probationary period, the annual review committee will serve as a Promotion and Reappointment (P&R) committee.

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

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review proceeds identically to the fourth-year review procedures for tenure-track faculty. External letters of evaluation are not required. There is no presumption of renewal of contract.

F. Associated Faculty

An annual review is required for each salaried associated faculty member. The annual review should assess the faculty member's continuing development in teaching, scholarship, and service. Special attention will be paid to the faculty member's student evaluation of teaching summaries as well as peer review of teaching reports.

Full-time associated faculty should prepare an annual report in the form of a dossier consistent with that outlined by the Office of Academic Affairs' Policies and Procedures Handbook. Part-time associated faculty should submit an updated curriculum vitae.

The dean appoints an annual review committee for full-time associated faculty. Typically this will be the Associate Dean for Academic Affairs and the Associate Dean for Clinical Services. Both the Associate Dean for Academic Affairs and the Associate Dean for Clinical Services conduct annual reviews for part-time associated faculty.

No later than October 15 of the final year of a multi-year appointment, the dean will decide whether or not to reappoint. The dean's recommendation on reappointment is final.

G. Salary Recommendations

As reflected in documents from the Office of Academic Affairs, the Office of Human Resources, and the College of Optometry, compensation decisions should support the recruitment, performance, and retention of quality faculty. To

support that goal, all compensation decisions are based on merit and are guided by principles of performance, equity, and impact.

H. Criteria

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

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

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

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

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

It is explicitly recognized that many types of activity may fall into more than one of these three categories. For example, clinical optometric work may be listed as "teaching" (because the faculty member may be instructing students), "research" (because the clinical experience may guide the faculty member’s research focus), or "service" (because it is a service to both the public and to the College). The faculty member may decide how each activity is to be listed but may not list it in more than one location in the core dossier.

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

The time frame for assessing performance will be the past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in one or more areas of endeavor and a pattern of

consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

I. Procedures

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

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

VI. Promotion and Tenure and Promotion Reviews

Promotion and tenure decisions are based on the performance of faculty members in teaching, research/scholarship, and service. Flexibility is exercised in evaluating the candidate's accomplishments in these areas, because the level of commitment and success in each area will vary among candidates according to their responsibilities. Candidates will be held to a high standard of excellence, particularly in the areas that are central to their responsibilities. Several activities straddle the areas of teaching, research/scholarship, and service. The faculty member may decide how each activity is to be listed but may not list it in more than one location in the core dossier.

A. Criteria

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.

1. Promotion to Associate Professor with Tenure

The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a scholar, as a teacher, and as one who provides effective service. Performance of the faculty member during the probationary period should provide justification to expect that a program of high quality scholarship, teaching, and service relevant to the mission of the College of Optometry will continue.

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

The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the College's academic mission at a high level for the duration of their time at the university.

Faculty members are expected to conduct an ongoing program of research and scholarship, to be current in their knowledge of recent advances in their field(s) of specialization, and to continue to make contributions to its literature and state of the art. Research may be independent or collaborative and may be applied or basic in nature. Research is to be judged by its impact on the specialized field and by national recognition by learned societies or professional organizations. Evidence of excellence in research and scholarship is normally provided by the number and quality of publications in refereed journals or proceedings, presentation of scientific papers at professional meetings, and the frequency with which the professor's work is cited in print by others. Another indication of this activity is success in obtaining grants and contracts for funded research, including support of research by government, charitable, business or industrial sources. Entrepreneurship is a form of scholarship valued by the College of Optometry and is another indicator of excellence in research and scholarship. Entrepreneurial activities may include but are not limited to patents and licenses of invention disclosures, software development, material transfers, technology commercialization, formation of startup companies, and licensing and option agreements. Other pertinent scholarly activities include the development of courses dealing with recent research and conducting advanced seminars or symposia. Special research awards, invited addresses at national and international meetings, organization of symposia and conferences, and other related activities may also be considered in the evaluation of research or scholarship.

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

Faculty service is a product of activities performed within The Ohio State University, or through outside professional activities or both. In the first category, each faculty member is expected to carry an appropriate share of committee or other assignments within the College or University. Assigned clinical duties that do not include teaching or research are also considered to be service to the College and to the public. Such work could include administration of a clinic or clinical services provided to the public. As a professional, each faculty member is encouraged to accept responsibility in regional, national and international professional organizations as, for example, elected or appointed offices, editorial services, editorships, or community service.

Consulting by a faculty member is an aspect of their service contribution if the consulting contributes to the mission of the College of Optometry. Consultation with other researchers within the University, industry, or with government agencies may form an important component of a faculty member's research. Consulting performed by the faculty member must be consistent with the missions of the College and the University, and must be in accordance with the University's Conflict of Interest Policy .

2. Promotion to Professor

Faculty Rule 3335-6-02 establishes the following general criteria for promotion to the rank of professor: Promotion to the rank of professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service.

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field.

When assessing a candidate's national and international reputation in the field, a national and international reputation for the scholarship of teaching may be counted as either teaching or scholarship.

For promotion to the rank of professor, the candidate must perform in a distinguished manner in at least one of three traditional areas of academic performance: research or scholarship, teaching, and service. Promotion to the rank of professor must be based on convincing evidence that the faculty member has a record of excellence in teaching over several years; and/or has produced a significant body of scholarship that is recognized nationally and internationally; and/or has demonstrated leadership in service as described below. While the individual seeking promotion should be assessed in relation to assigned responsibilities, exceptional performance in these responsibilities is required.

Excellence in research and scholarship is typically defined by the number and quality of publications in refereed journals or proceedings, presentation of scientific papers at professional and scientific meetings, and the frequency with which the person's work is cited in print by others. Other indications of excellence in research and scholarship include obtaining grants and contracts for funded research by government, charitable, business or industrial sources. Entrepreneurship is a form of scholarship valued by the College of Optometry and is another indicator of excellence in research and scholarship. Entrepreneurial activities may include but are not limited to patents and licenses of invention disclosures, software development, material transfers, technology commercialization, formation of startup companies, and licensing and option agreements. Other pertinent scholarly activities include special research awards, invited addresses at national and international meetings, and contributions by current and former graduate students. Excellence in research and scholarship must be maintained since receiving tenure.

Excellence in teaching can be signified by several criteria, including accessibility to students, fairness in grading, coverage of the material prescribed in the course syllabus, presentation of material at an appropriate level, and clearly defining for students what is expected of them in the course; each of these criteria are to be evaluated by peer-review. A good teacher should also communicate clearly and effectively, have a thorough knowledge of the subject, be well-organized and intellectually stimulating, and create an atmosphere that encourages curiosity and independent thinking. Teaching awards are also an indicator of excellence in teaching. It is important for the teacher to have a constructive student-teacher relationship, express an interest in teaching and in the course material, and include recent developments in the course material. Other forms of participation in teaching include development of new courses, developing resources to improve teaching, writing textbooks or monographs, and educational lectures presented at regional, national, or international meetings. A key component of the teaching component for promotion to professor is excellence in advising of graduate students, to be determined by the quality of graduate student research, completion of graduate degrees by students, and accomplishments of graduate students. Performance in teaching is expected to have been maintained at a high level or improved since the time tenure was awarded.

Faculty service should be evaluated through activities that do not include teaching or research. To be promoted to Professor, faculty members are expected to hold leadership positions, such as Chair, of committee or other assignments within the College or University. Other forms of service to be evaluated for promotion to professor include service on a national or international level, such as elected or appointed offices, editorial or reviewer services, editorships, appointment to review councils or study sections, or significant leadership in community service.

3. Promotion of Clinical Faculty

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

Promotion from Assistant Clinical Professor to Associate Clinical Professor: Candidates must have demonstrated excellence in clinical teaching, patient care, service, and scholarship.

Promotion from Associate Clinical Professor to Clinical Professor: Candidates must demonstrate leadership and

excellence in teaching, patient care, public service and/or scholarship. Leadership can be demonstrated by creating new courses, chairing committees, directing clinical services, creating new clinical experiences for students and patients, conducting sustained community service, contributing to professional textbooks, and establishing a national or international reputation for excellence in clinical care.

Excellence in teaching is the most important criterion for advancement of clinical faculty. Teaching may take place in the classroom, laboratory, or clinics and may include courses or other instruction in the professional curriculum. They may also contribute to teaching by designing clinical rotations in a given practice area, by developing self-study materials, and by contributing to special projects, including those that may involve multidisciplinary personnel. Criteria for excellence in teaching includes accessibility to students, fairness in grading, coverage of the material prescribed in the course syllabus, presentation of material at an appropriate level, and clearly defining for students what is expected of them in the course. A good teacher should also communicate clearly and effectively, have a thorough knowledge of the subject, be well-organized and intellectually stimulating, and create an atmosphere that encourages curiosity and independent thinking. Teaching awards are also an indicator of excellence in teaching. It is important for the instructor to have a constructive student-teacher relationship, express an interest in teaching and in the course material, and include recent developments in the course material. Other forms of participation in teaching include development of new courses, advising graduate students, developing resources to improve teaching, and writing textbooks or monographs.

The clinical faculty must demonstrate competence in professional practice. Quality and high standard of practice should be judged by continued success of a program area. Indicators of success may include the impact on standards of practice; contributions to the body of knowledge in the individual's area of practice; and honors, awards, or recognitions by various professional societies at the local, state, national, or international level.

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

Clinical faculty should contribute to the existing body of knowledge by publication in professional journals. Scholarship is to be judged by its impact on the profession and by national recognition by professional organizations. Evidence of excellence in scholarship is provided by publications in journals or proceedings, presentation of papers at professional meetings, contributions to professional textbooks, and by the reputation of the candidate. Other pertinent scholarly activities include the development of teaching materials and presentation of continuing education on advanced clinical techniques. Suitable scholarship may also include entrepreneurial activities such as patents and licenses of invention disclosures, software development, material transfers, technology commercialization, formation of startup companies, and licensing and option agreements. Special awards, invited addresses at national and international meetings, organization conferences, and other related activities may also be considered in the evaluation of scholarship.

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

4. Promotion of Research Faculty

The major responsibility of research faculty is research, and the evaluation of such faculty must primarily focus on the performance of this duty. Research faculty members are required to conduct an ongoing program of research and scholarship, to be current in their knowledge of recent advances in their field(s) of specialization, and to continue to make contributions to its literature and state of the art.

Promotion to Research Associate Professor: An expectation of a research faculty member is to acquire external sources of support. Research may be independent or collaborative and may be applied or basic in nature. The quality of research

is to be judged by its impact on the specialized field and by national recognition by learned societies or professional organizations. Evidence of excellence in research and scholarship is often provided by the number and quality of publications in refereed journals or proceedings, presentation of scientific papers at professional meetings, and the frequency with which work is cited in print by others. Entrepreneurship is a form of scholarship valued by the College of Optometry and is another indicator of excellence in research and scholarship. Entrepreneurial activities may include but are not limited to patents and licenses of invention disclosures, software development, material transfers, technology commercialization, formation of startup companies, and licensing and option agreements. Special research awards, invited addresses at national and international meetings, organization of symposia and conferences, and other related activities may also be considered in the evaluation of research or scholarship.

Promotion to Research Professor: The promotion must be based on convincing evidence that the faculty member has a sustained record of excellence in scholarship that is recognized nationally and internationally, as evidenced by a continuous record of obtaining external research support, mentoring of other faculty conducting research, awards for research, extensive publications that are regularly cited, successful entrepreneurial endeavors, appointment to review councils or study sections, editorial or review services, and continued excellence in mentoring of graduate students.

5. Promotion of Associated Faculty

The major responsibility of clinical associated faculty is clinical teaching. The evaluation of such faculty must primarily focus on the performance of this duty. Special attention will be paid to student evaluation of instruction in the clinic and to peer review of teaching. Further evidence of expertise and clinical stature may be demonstrated by referrals from practitioners both inside and outside the College. While not required, scholarly activity can assist in the case for promotion and may be represented by publications in journals or proceedings, presentations of lectures, papers, or posters at professional meetings, and membership in professional organizations. Other pertinent scholarly activities could relate to teaching, e.g., the development of teaching materials and continuing education-type presentations about clinical techniques and knowledge. Suitable scholarship may also include entrepreneurial activities such as patents and licenses of invention disclosures, software development, material transfers, technology commercialization, formation of startup companies, and licensing and option agreements.

Similarly, as the primary responsibility of associated lecturers is teaching, the evaluation of lecturers and senior lecturers must primarily focus on teaching. The evaluation of associated visiting faculty will focus on their primary duties within the college (i.e., teaching, research, or service). Visiting faculty are not eligible for promotion.

B. Procedures

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

1. 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 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.

- To submit a copy of the college's APT under which they wish to be reviewed. Candidates may submit the college'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. 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. This must be submitted when the dossier is submitted to the college.

- To review the list of potential external evaluators developed by 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 three names, providing the reasons for each such request. The Promotion and Tenure Committee decides whether removal is justified. (Also see External Evaluations below.)

2. Promotion and Tenure (P&T) Sub-committee(s) Responsibilities

The responsibilities of the Promotion and Tenure Sub-committee(s) are as follows:

- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.

    - The committee bases its decision on assessment of the record as presented in the faculty member's curriculum vitae and on a determination of the availability of all required documentation for a full review (e.g., 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.

    - Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the dean that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this college.

    - A decision by the P&T Sub-committee to permit a review to take place in no way commits the P&T Committee (eligible faculty), the dean, or any other party to the review to making a positive recommendation during the review itself.

- Review information from the peer evaluations of teaching.

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

    - **Late Spring:** Solicit external evaluations from a list including names suggested by the committee, the dean, and the candidate. (Also see External Evaluations below.)

    - **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. The P&T Sub-committee gathers internal evidence of the quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service from students and peers, as appropriate, within the College of Optometry.

- 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 research, teaching and service to provide to the full eligible faculty with the dossier; seek to clarify any inconsistent evidence in the case, where possible. The letter must include a summary of student comments collected as part of the student evaluation of instruction. The committee should not take a position in presenting its analysis of the record.

- Revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; 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.

3. P&T Committee (Eligible Faculty) Responsibilities

The responsibilities of the members of the eligible faculty 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.

4. Dean's Responsibilities

The responsibilities of the dean are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by the college.

- To make adequate copies of 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.

- **Late 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 college review process:

    - of the recommendations by the eligible faculty;

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

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

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

- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the dean's independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

The dean's decision shall be final with respect to reappointment and non-reappointment. Decisions with respect to promotion for all faculty shall be forwarded to the executive vice president and provost, who shall review the decision consistent with review procedures set forth in Faculty Rules 3335-6-03 and 3335-6-04. Any decision of the executive vice president and provost shall be final.

5. External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research appointment contract renewals and promotion reviews, and all adjunct faculty with a tenure-track title promotion reviews. External evaluations of scholarly activity and research are not obtained for clinical faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical faculty member will be made by the chair of the Promotion and Tenure Committee.

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, 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. The college should solicit evaluations from faculty at institutions comparable to Ohio State. External evaluators should be above the rank of the candidate being considered unless an exception has been granted by the Office of Academic Affairs.

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

Since the college cannot control who agrees to write and or the usefulness of the letters received, at least twice as many letters are usually sought as are required. They should be solicited sufficiently early to allow 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 P&T Committee 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 college requires that the dossier contain letters from evaluators suggested by the candidate.

The college follows the Office of Academic Affairs suggested format, provided here, for letters requesting external evaluations.

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 college 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 college's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

C. Dossier

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure Committee (*or Eligible Faculty*) makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by 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 for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion 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 to the university-level. The documentation of teaching is forwarded along with the dossier. The documentation of scholarship and service is for use during the college review only, unless reviewers at the university level specifically request it.

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-Year Reviews

Faculty Rule 3335-6-05 sets forth the conditions and procedures for a seventh-year review for a faculty member denied tenure as a result of a sixth-year (mandatory tenure) review, the evaluation procedures to be followed are the same as for the sixth-year review. The membership of the P&T Sub-committee need not be identical to the sixth-year review. External letters of evaluation must be obtained from different reviewers.

IX. Procedures for Student and Peer Evaluation of Teaching

A. Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (SEI) is required in every course offered in this college. Faculty should choose a day late in the semester when attendance is likely to be high to distribute the form. These evaluations should be handed out and collected by staff of the Office of Student Affairs or by a class officer. The faculty member should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation. The faculty member should not be present in the classroom during the actual time of the student evaluations.

B. Peer Evaluation of Teaching

The associate dean for academic affairs appoints a Peer Review of Teaching Committee. Reasonable efforts are made to distribute service among the faculty from year to year in order to support and encourage attention to the quality of teaching in the college. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

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

- to review the teaching of probationary faculty at least twice in the first four years of service;
- to review the teaching of non-probationary faculty who are not professors at least once every two years;
- to review the teaching of non-probationary professors at least once every five years;
- to review the teaching of any faculty member who requires additional peer review of teaching prior to promotion; and
- to review the teaching of any faculty member who requests it, as time permits. Reviews conducted upon the request of the associate dean for academic affairs or the faculty member focus on the specific aspects of instruction requested by the associate dean for academic affairs or faculty member. Reviews conducted at the request of the faculty member are considered formative only. The associate dean of academic affairs 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 university's Institute for Teaching and Learning.

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include viewing of recorded lectures and review of course syllabi and related instruction materials.

In viewing recorded lectures 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 review of all these materials, the reviewer meets with the candidate to give feedback and also submits a written report to the associate dean for academic affairs, copied to the candidate. The candidate may provide written comments on this report, and the reviewer may respond if he/she wishes. The reports are included in the candidate's dossier.

Whenever possible, peer reviewers who are familiar with the faculty member's field of instruction and/or pedagogies are to be selected. Faculty members with decanal titles are permitted to serve as peer reviewers. The time period between peer review of non-probationary faculty is at the discretion of the dean based upon their judgment and the recommendations (if any) of previous peer reviews.

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

The peer reviewer should submit a written summary of their observations to the faculty member and the annual review committee or to the dean in the case of non-probationary faculty. When there is disagreement over the reviewer's findings, the faculty member may request a meeting with the reviewer and the dean, associate dean of academic affairs, the chair of the Peer Review of Teaching Committee, and/or the chair of the annual review committee. If this meeting does not resolve these disagreements, the faculty member may provide a written response to the review that is attached to the peer reviewer's summary report and/or may request an additional review by a new peer reviewer.

C. Guidelines for Peer Review of Clinical Teaching by Full-Time Associated Faculty

Note: During the COVID-19 pandemic, in-person peer review of clinical teaching is suspended to avoid having additional people in the clinics.

Peer review of instruction is required for full-time (≥ 50% full-time equivalent [FTE]) associated faculty. Peer review of teaching should occur at least every five years and prior to promotion.

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

Peer reviewers for full-time associated faculty members will be selected by the Peer Review of Teaching Committee chair in consultation with the faculty member being reviewed. Whenever possible, peer reviewers who are familiar with the faculty member's area(s) of interest are to be selected. Faculty members with decanal titles are permitted to serve as peer reviewers. The initial timing of and time period between peer review observations of non-probationary faculty is at the discretion of the Associate Dean for Academic Affairs based upon their judgment and the recommendations (if any) of previous peer reviews.

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

During the clinic visit, the peer reviewer should consider such issues as: identification of expectations of student interns and learning objectives; the faculty member's clinical knowledge; teaching of communication skills; the style and effectiveness of the faculty member's feedback to student interns; and teaching of critical thinking skills. Peer reviewers should not participate in clinic or interact with students or patients during their clinic visits.

After the clinic visit, the peer reviewer should submit a written summary of their observations to the faculty member and the Associate Dean for Academic Affairs. When there is disagreement over the peer reviewer's findings, the faculty member may request a meeting with the Associate Dean for Academic Affairs to discuss the peer review process and outcome. If this meeting does not resolve these disagreements, the faculty member may provide a written response to the review that is attached to the peer reviewer's summary report.