

# **Appointments, Promotion, and Tenure**

## **Criteria and Procedures for The Ohio State University College of Medicine**

### **School of Health and Rehabilitation Sciences**

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## I. Preamble

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

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

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

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

## II. School Mission

- A. **Vision:** To be a global leader in advancing scholarship, education and practice in health and rehabilitation sciences.
- B. **Mission:** To develop transformative leaders in health and rehabilitation sciences.

## III. Definitions

### A. Committee of the Eligible Faculty

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

The School Director, the dean and assistant/associate dean/vice deans of the college, the executive vice president and provost, and the president may not participate as eligible faculty members in reviews for appointment, reappointment, promotion, or promotion and tenure. Division/Program Directors may provide clarifying information on their faculty direct reports but are not eligible faculty members for the purposes of voting.

The School's Committee of the Eligible Faculty comprises all of the School's eligible faculty and is a standing committee of the School. It is charged with evaluating current school faculty for promotion and tenure; and review and reappointment decisions for probationary clinical faculty, promotion and contract renewals for research faculty, and promotion and reappointment for associated faculty.

The chair of the School's Committee of the Eligible Faculty will be appointed by the School Director; preference will be given to someone at the rank of Professor with tenure. The chair will serve a three-year term, with eligibility for renewal for one additional consecutive term. In the chair's penultimate year, a chair-elect is selected, whose term begins July 1st.

Decisions made by the Committee of the Eligible Faculty with regards to appointments, evaluation of probationary faculty, and promotions can only be made by those faculty members eligible to consider the matter based on the candidate's type of appointment and rank.

Individual faculty members can only evaluate those seeking promotion to a level at or below their rank and faculty review responsibilities are determined by their appointment type.

## **Tenure-track Faculty**

### **Initial Appointment Reviews**

- The search committee is responsible for providing a feedback summary to the School Director for candidates.
- The Committee of Eligible Faculty does not vote on initial appointments at Instructor or Assistant Professor ranks.
- **Advanced Rank Review.** A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested.

### **Reappointment, Promotion, or Promotion and Tenure Reviews**

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

## **Clinical Faculty**

### **Initial Appointment Reviews**

- The search committee is responsible for providing a feedback summary to the School Director for candidates.
- The Committee of Eligible Faculty does not vote on initial appointments at Clinical Instructor or Assistant Clinical Professor ranks.

- **Advanced Rank Review.** A vote on the appropriateness of the proposed rank must be cast by tenured faculty of equal or higher rank than the position requested and all non-probationary clinical faculty of equal or higher rank than the position requested.

### **Reappointment and Promotion Reviews**

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

### **Research Faculty**

#### **Initial Appointment Reviews**

- The search committee is responsible for providing a feedback summary to the School Director for candidates.
- The Committee of Eligible Faculty does not vote on initial appointments at the rank of Assistant Research Professor.
- **Advanced Rank Review.** A vote on the appropriateness of the proposed rank must be cast by tenured faculty of equal or higher rank than the position requested and all non-probationary research faculty of equal or higher rank than the position requested.

### **Reappointment and Promotion Reviews**

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

### **Associated Faculty**

#### **Initial Appointment Reviews**

- The search committee is responsible for providing a feedback summary to the School Director for candidates.
- The Committee of Eligible Faculty does not vote on initial appointments at Lecturer, Instructor of Practice or Assistant Professor of Practice ranks.
- **Advanced Rank Review.** A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested, and all non-

probationary clinical faculty of equal or higher rank than the position requested and have prior approval of the college dean.

### **Reappointment Reviews**

- The eligible faculty for reappointment reviews of associated faculty consists of all tenured faculty at or above the rank for which the candidate is being reviewed and all non-probationary clinical faculty at or above the rank for which the candidate is being reviewed.
- The School Director, in consultation with the academic program or division director, reappoints lecturers and senior lecturers.

### **Promotion Reviews**

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

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

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

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

For the promotion review of a lecturer to senior lecturer, the eligible faculty shall be all tenure-track and non-probationary clinical faculty at the rank of associate professor and professor.

### **Conflict of Interest**

- **Search Committee Conflict of Interest**

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

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

- **Eligible Faculty Conflict of Interest**

A member of the eligible faculty has a conflict of interest when he/she/they are or have been to the candidate:

- a thesis, dissertation, or postdoctoral advisee/advisor;
- a co-author on more than 50% of the candidate's publications since appointment or last promotion, including pending publications and submissions;
- a collaborator on more than 25% of projects since appointment or last promotion, including current and planned collaborations;
- in a consulting/financial arrangement with the candidate since appointment or last promotion, including receiving compensation of any type (e.g., money, goods, or services) or is dependent in some way on the candidate's services; or
- in a family relationship such as a spouse, child, sibling, or parent, or other relationship, such as a close personal friendship, that might affect one's judgment or be seen as doing so by a reasonable person familiar with the relationship.

Such faculty members will be expected to withdraw from a promotion review of that candidate.

In addition, an individual who has had personal or professional conflicts with the candidate are ineligible to participate in the discussion and vote. It is the responsibility of the School Director 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.

### **Minimum Composition**

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

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

The School has an Appointments, Promotion and Tenure (APT) Committee that assists the eligible faculty in managing promotion and tenure pre-approvals and annual reviews. Faculty eligible to serve on the APT Committee include all members of the Committee of the Eligible Faculty (see Section IV.A. of this document)

The APT Committee consists of 12 non-probationary clinical faculty (at least 6 of whom are at the rank of professor) and 12 non-probationary tenured faculty members (at least 6 of whom are at the rank of professor). One or more research faculty members at the rank of associate professor or professor, as appropriate, may be selected by the School Director or the Director of Faculty and Staff Affairs as needed to vote on pre-approvals and annual reviews of senior rank research faculty.

Committee members will be appointed by the School Director. No School division will have more than 3 tenure-track and 3 non-tenure track representatives to the committee unless it is not possible to fill the committee with this limitation. In such cases, a School division may have more than three faculty members serve on the committee.

The term of appointment for service on the committee is three years and appointments are staggered so that one third of the committee is appointed each year.

The APT Committee will consist of four subcommittees. These subcommittees each review and vote on the faculty under their purview independently of one another.

- 1) The first subcommittee (Tenured Advanced Rank) consists of 6 appointed tenured faculty members at the rank of Professor who will make recommendations concerning tenure track and research faculty at the Associate Professor or Professor rank.
- 2) The second subcommittee (Clinical Advanced Rank) consists of 6 appointed clinical faculty at the rank of Clinical Professor who will make recommendations concerning clinical faculty at the Associate Professor or Professor rank.
- 3) The third subcommittee (Tenure-Track) consists of 6 appointed tenured faculty members at any rank who will make recommendations concerning tenure track and research faculty at the Assistant Professor rank.
- 4) The fourth subcommittee (Clinical Early Rank) consists of 6 appointed clinical faculty at the rank of Associate Clinical Professor who will make recommendations concerning clinical faculty at the Assistant Clinical Professor rank.

Each subcommittee will elect a chair who will serve a three-year term. The duties of the chair are to preside over the committee meetings, assign reviewers at their discretion, and oversee the voting regarding pre-approval and annual review decisions. The subcommittee chairs' terms of appointment will be extended beyond three years if required to allow a full three years of service as chair.

Two procedure oversight designees (POD) will be elected by each subcommittee, each to serve a one-year term (see section VI.B). Two PODs are elected to assure the presence of at least one at each committee meeting. The POD's may be re-elected for an unlimited number of terms while they serve on the committee. The role of the POD is to assure that all procedures outlined in the APT document are followed and to sign verification that all procedures, including the presence of a quorum, have been followed.

Division directors or those who have administrative leadership positions in the Medical Center cannot serve on the committee.

### **C. Quorum**

The quorum required to discuss and vote on all personnel decisions is a simple majority (>50%) of the eligible faculty not on an approved leave of absence. Faculty on approved leave are not considered for quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave.

Faculty members who recuse themselves because of a conflict of interest and division/program/center directors presenting the faculty member's case (see Section VI.B.c) are not counted when determining quorum.

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

### **D. Recommendation from the Committee of the Eligible Faculty**

In all votes taken on personnel matters only “yes” and “no” votes are counted. Abstentions are not votes and are not permitted in this School.

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

### **Initial Appointment**

- In the [SHIFT](#) Framework for faculty recruitment, search committees summarize feedback and provide to the School Director. The Committee of Eligible Faculty does not vote on initial appointments. As described in IV.A, the eligible faculty only provide review for appointment at advanced rank.
- A positive recommendation from the eligible faculty for appointment at advanced rank is secured when at least more than half of the votes cast are positive.
- In the case of a joint appointment, the School must seek input from a candidate’s joint-appointment School prior to their appointment.

### **Reappointment, Promotion and Tenure, and Promotion**

- A positive recommendation from the eligible faculty for reappointment, promotion and tenure, and promotion is secured when a simple majority (> 50%) of the votes cast are positive.
- In the case of a joint appointment, the School must seek input from a candidate’s joint-appointment TIU prior to their reappointment, promotion, and/or tenure.

## **IV. Appointments**

The School of Health and Rehabilitation Sciences includes tenure-track, clinical faculty, research faculty, associated faculty, emeritus faculty, courtesy, and joint appointments.

### **A. Appointment Criteria**

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

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

All faculty positions must be posted in [Workday](#), the university's system of record for faculty and staff. Formal interviews are required for all positions, including interviews using pre-designed evaluation rubrics, is required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in [Workday](#) to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

## **Tenure-track Faculty**

The School of Health and Rehabilitation Sciences, as part of a distinguished comprehensive medical center and university, is committed to the appointment of tenure-track faculty who will make significant contributions to the body of knowledge in their field of health and rehabilitation sciences through discovery and dissemination of research and other scholarly activities that demonstrate national and international impact, including activities such as securing extramural grants and other funding, publishing high impact research (e.g. publishing in journal with high impact factors, top journals in the field, and/or papers with high citations), and giving national and/or international presentations. The individual appointed must also strive to bring the most current information into the learning environment, provide excellence in teaching and learning, curriculum development, and student advising and mentorship. In addition, the faculty member will be expected to provide professional, university, college, and school service. Although excellence in teaching and outstanding service to The Ohio State University are required, these alone are not sufficient for progress on this track. The whole of achievement for the School is only as great as the sum of its parts. Therefore, recognition of the potential contribution of each faculty member in moving the School forward is the basis for each appointment. Given that the School does not provide any patient-care services, no tenure-track faculty have any significant clinical responsibilities as part of their faculty appointment.

### ***Appointment: Instructor on the Tenure Track***

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. Procedures for appointment are identical to those for an assistant professor. The School will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. An instructor must be approved for promotion to assistant professor by the beginning of the third year, or the appointment will not be renewed and the third year is the terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. Unless there are unique circumstances, the School and college do not recommend requesting prior service credit. This request must be approved by the School's eligible faculty, the School Director, the college dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted except through an approved request to extend the probationary period. In addition, all probationary faculty members have the option to be considered for promotion prior to the mandatory review year.

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

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study. Individuals who have completed all the requirements of their terminal degree, but who have not obtained the final degree at the time of initial employment will be appointed as an instructor. In addition, appointment at the rank of instructor is

appropriate for individuals who, at the time they join the faculty, do not have the requisite skills or experience to fully assume the full range of responsibilities of an assistant professor.

- Evidence of potential for excellence in scholarship. Such evidence might include peer-reviewed publications in a mentored setting, but insufficient evidence of an independent, creative, and productive program of research with potential for external funding.
- No evidence of ongoing negative behaviors such as discrimination, bullying, harassment, retaliation, or promotion of other hostile work conditions.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix C in the College’s [Appointments, Promotion, and Tenure document](#)].
- In aggregate, accomplishments related to the above criteria should be sufficiently compelling that the appointee is judged to have significant potential to attain tenure and a distinguished record as a faculty member in the College of Medicine.

#### ***Appointment: Assistant Professor on the Tenure Track***

An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for high impact scholarly productivity, high-quality teaching, and high-quality service to the School and the profession is expected.

An appointment to the rank of assistant professor is always probationary. During a probationary period, a faculty member does not have tenure and is considered for reappointment annually. Tenure cannot be awarded at the rank of assistant professor. An assistant professor must be reviewed for promotion and tenure no later than the mandatory review year (6<sup>th</sup> year of appointment). However, promotion and tenure may be granted by following the promotion and tenure review process at any time during the probationary period when the faculty member’s record of achievement so merits. Similarly, a probationary appointment may be terminated at any time subject to the provision of [University Rule 3335-6-08](#) and the provision of paragraphs (6), (H), and (I) of [University Rule 3335-6-03](#).

Consistent with [Faculty Rule 3335-6-09](#) faculty members without clinical service responsibilities are reviewed for promotion & tenure no later than the 6<sup>th</sup> year as to whether promotion and tenure will be granted at the beginning of the 7<sup>th</sup> year. For individuals not recommended for promotion and tenure after the mandatory review, the 7<sup>th</sup> year will be the final year of employment.

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

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

- An earned doctorate or other terminal doctoral degree in the relevant field of study.
- Early evidence of excellence in scholarship as demonstrated by the initial development of a body of research, scholarship, and creative work. In addition, evidence must be provided that supports a candidate’s potential for an independent program of scholarship or leadership within a productive research program as well as a strong

likelihood of independent extramural research funding or extramural funding through team science work.

- No ongoing negative behavior such as discrimination, bullying, harassment, retaliation or promotion of other hostile work conditions.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix C in the College’s [Appointments, Promotion, and Tenure document](#)].
- In aggregate, accomplishments related to the above criteria should be sufficiently compelling that the appointee is judged to have significant potential to attain tenure and a distinguished record as a faculty member in the College of Medicine.

#### ***Appointment: Associate Professor with Tenure on the Tenure-Track***

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

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

#### ***Appointment: Associate Professor in Advance of Tenure on the Tenure Track***

While appointments at the rank of associate professor typically entails tenure, a probationary appointment at the rank of associate professor is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. The School must provide the metrics that the faculty member must achieve to be awarded tenure. The probationary period may not exceed four years. Requests for such appointments require the approval of the Dean of the College of Medicine, and the Executive Vice President and Provost.

An appointment to the rank of associate professor in advance of tenure is probationary. During a probationary period, a faculty member does not have tenure and is considered for reappointment annually. Criteria for appointment to the rank of associate professor in advance of tenure are identical to the criteria for promotion to associate professor in advance of tenure, as detailed in Section VI of this document. If tenure is not granted, an additional (terminal) year of employment is offered.

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

#### ***Appointment: Professor with Tenure on the Tenure Track***

Appointment offers at the rank of professor with tenure require prior approval of the University Office of Academic Affairs. Criteria for initial appointment to the rank of professor with tenure are identical to the School’s criteria for promotion to professor with tenure, as detailed in Section VI of this document.

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

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

## Clinical Faculty

The School appoints Clinical faculty. Clinical faculty are equivalent in importance to tenure track faculty in the School. These appointments exist for faculty members who focus principally on the education needs for students in the health sciences at the health system, college, or School level. Clinical faculty members are expected to contribute to the School's education mission as demonstrated by excellence in teaching, undergraduate and graduate program and curriculum development, and student advising/mentorship. Faculty members appointed to the clinical faculty may choose to further distinguish themselves in research (scholarship) on the clinician-scholar pathway, in teaching on the clinician-educator pathway, or professional leadership on the clinical excellence pathway. **National reputation and impact are requirements for all clinical pathways.** The clinician-scholar pathway emphasizes excellence in teaching, curricular innovation, and excellence in scholarship (e.g., scholarship of teaching and learning, basic science, translational science, clinical research and/or health services research and implementation science). Clinical faculty engage in scholarship through activities such as participation as Co-I or collaborator in extramural funding proposals, publishing in high-impact journals, giving national and/or international presentations. Extramural funding as a PI is not required of clinical faculty. The clinician-educator pathway reflects excellence as an educator as measured by teaching evaluations and innovative teaching practices and curricula or modules development, and publications. The clinical excellence pathway reflects excellence in teaching and curricular innovation, and professional or societal leadership (e.g., national leadership of a professional organization, development of innovations in community outreach and engagement). Given that the School does not provide any patient-care services, no clinical faculty have any significant clinical responsibilities as part of their faculty appointment. In this context, the title "clinical" in the School denotes faculty whose primary focus is on education. Members of the clinical faculty are not eligible for tenure and may not participate in promotion and tenure matters of tenure-track faculty.

All clinical faculty, regardless of pathway, are expected to engage in scholarship and provide service to their profession, the university, the college, and the school. The pathways described above provide a way for faculty to focus their efforts in building their national reputation. Clinical appointments are made in accordance with [Faculty Rule 3335-7](#). The whole of achievement for the School is only as great as the sum of its parts. Each new appointment must enhance, or have strong potential to enhance, the quality of the School. All faculty members have access to all pertinent documents detailing School, College of Medicine, and University promotion and tenure policies and criteria. The most updated documents are located at the [University Office of Academic Affairs website](#).

Except for those appointed at the rank of instructor, for whom a contract is limited to three years, the initial contract for all other clinical faculty members must be for a period of five years. The initial contract is probationary, with reappointment considered annually. A faculty member will be informed by the end of each probationary year if they will be reappointed for another year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is also no presumption that subsequent contracts will be offered, regardless of performance. In addition, the terms of the contract may be renegotiated at the time of reappointment.

Second and subsequent contracts for assistant and associate clinical professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for clinical professors must be for a period of at least three years and no more than five years.

Furthermore, each appointee must obtain the appropriate Ohio licensure and other required certifications, including medical staff privileges if required for successful execution of their faculty responsibilities (e.g.

for program accreditation purposes). The School determines the process for reappointment according to the procedures set forth in the [Faculty Annual Review, Post-Tenure Review, and Reappointment Policy, III.A-G.](#)

The [Pattern of Administration of the School](#) describes the governance rights to be extended to its clinical faculty.

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

***Appointment: Clinical Instructor***

Appointments are normally made at the rank of clinical instructor when the appointee has not completed the requirements for the terminal doctoral degree. The School will make every effort to avoid such appointments. As noted above, an appointment at the instructor level is limited to a three-year contract. Promotion to assistant clinical professor occurs without review the semester following completion of the required credentialing and/or training. If the instructor has not completed requirements for promotion to the rank of assistant clinical professor by the end of the penultimate year of the three-year contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue. When an instructor meets the criteria for promotion to assistant professor on the clinical faculty, a new letter of offer with a probationary period of five years will be issued.

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

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

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study.
- Evidence of potential for contributions to scholarship, education, or patient care.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see [Appendix C of the College of Medicine Appointments, Promotion, and Tenure document](#)].
- No ongoing negative behaviors such as discrimination, bullying, harassment, retaliation, or promotion of other hostile work conditions.

***Appointment: Assistant Clinical Professor***

An earned terminal doctorate or other terminal degree in the relevant field of study, completion of all relevant training consistent with the existing or proposed clinical or educational program goals of the program, and the required licensure/certification in their specialty (as appropriate) are the minimum requirements for appointment at the rank of assistant clinical professor. Evidence of potential for high quality teaching, high quality service, and for contributing to scholarship are expected.

The initial appointment to the rank of assistant clinical professor is always probationary. During a probationary period, a faculty member is considered for reappointment annually. A probationary appointment may be terminated at any time subject to the provision of University Rule [3335-6-08](#) and the provision of paragraphs (B) and (D) of University Rule [3335-7-07](#). An assistant clinical professor may be reviewed for promotion at any time during the probationary period or during a subsequent contract. The initial probationary appointment as an assistant clinical professor is for a five-year term, and renewal appointments are for 3 to 5-year terms.

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

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

#### ***Appointment: Associate Clinical Professor***

Appointment at the rank of associate clinical professor requires that the individual have an earned doctorate, completion of all relevant training, and the required licensure/certification in their specialty (as appropriate), and fulfills, at a minimum, the School’s criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks as outlined in Section VI of this document. The initial probationary appointment as associate clinical professor is for a five-year term, and renewal appointments are for three to five-year terms.

#### ***Appointment: Clinical Professor***

Appointment at the rank of clinical professor requires that the individual have an earned doctorate, completion of all relevant training, and the required licensure/certification in their specialty (as appropriate), and fulfills, at a minimum, the School’s criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks as outlined in Section VI of this document. The initial probationary appointment as a clinical professor is for a five-year term, and renewal appointments are for three to five-year terms.

## **Research Faculty**

Research faculty appointments exist for individuals who focus primarily on research. These appointments are intended for individuals who will have faculty-level responsibilities in the research mission, comparable to the level of a tenure-track faculty member. Individuals who serve as laboratory managers or otherwise contribute to the research mission at a level comparable to that of a postdoctoral fellow or Co-Investigator should not be appointed on the research faculty but rather should be appointed as research scientists.

Research faculty focus primarily on scholarship. A research faculty member may, but is not required to, participate in educational and service activities. Each new appointment must enhance, or have strong potential to enhance, the quality of the school. Appointments to the research faculty are made in accordance with Chapter 7 of the [Rules of the University Faculty 3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the School. Unless otherwise authorized by a majority vote of the tenure-track faculty in the School and approval by the College and Office of Academic Affairs, research faculty must comprise no more than ten percent of the total faculty in the School. In all cases, however, the number of research faculty positions in a unit must constitute a minority with respect to the number of tenure-track faculty in the School.

Tenure is not granted to research faculty.

Contracts will be for a period of at least one year and for no more than five years and must explicitly state the expectations for salary support. In general, research faculty appointments will require 90-95% salary recovery. It is expected that salary recovery will generally be derived from extramural funds. While salary support for research faculty may not come from dollars provided to the School from the college, the School may choose to provide funding from individual School faculty research funds, start-up funds, and/or department Chair package funds to maintain the faculty member's salary at 100%.

The initial contract is probationary, and a faculty member will be informed by the end of each probationary year as to whether they will be reappointed for the following year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

Research faculty members are eligible to serve on University committees and task forces but not on University governance committees. Research faculty members also are eligible to advise and supervise graduate and postdoctoral students and to be a principal investigator on extramural research grant applications. Approval to advise and supervise graduate students must be obtained from the graduate school as detailed in Section 12 of the [Graduate School Handbook](#).

#### ***Appointment: Research Assistant Professor***

Appointment at the rank of research assistant professor requires that the individual have a doctorate, completion of sufficient research training to provide the basis for specific expertise for contributing to the research mission, and a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program. In addition, appointment at this rank requires that the candidate have:

- No ongoing negative behavior such as discrimination, bullying, harassment, retaliation, or promotion of other hostile work conditions.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the "Statement on Professional Ethics" by the American Association of University Professors [see [Appendix C of the College of Medicine Appointments, Promotion, and Tenure document](#)].
- Strong potential for career progression and advancement through the faculty ranks.

#### ***Appointment: Research Associate Professor***

Appointment at the rank of research associate professor or research professor requires that the individual have a doctorate and meet, at a minimum, the School's criteria for promotion to this rank as outlined in Section VI of this document.

#### ***Appointment: Research Professor***

Appointment at the rank of research professor requires that the individual have a doctorate and meet, at a minimum, the School's criteria for promotion to this rank as outlined in Section VI of this document.

## **Associated Faculty**

Associated Faculty, as defined in the Rules of the University Faculty [3335-5-19 \(D\)](#), include "persons with clinical practice titles, adjunct titles, visiting titles, and lecturer titles." Persons with a tenure-track faculty title on an appointment of less than 50% FTE are associated faculty. Members of the associated

faculty are not eligible for tenure, may not vote in College or University matters, and may not participate in promotion and tenure matters. Associated faculty in compensated roles at 50% or greater FTE may vote in School-related matters other than promotion and tenure. Associated faculty appointments may be as short as a few weeks to assist with a focused project, a semester to teach one or more courses, or for one to three years when a longer contract is useful for long-term planning and retention. Associated faculty may be reappointed. The titles below are used for associated faculty in the School of Health and Rehabilitation Sciences.

***Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor***

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

***Clinical Instructor of Practice, Clinical Assistant Professor of Practice, Clinical Associate Professor of Practice, Clinical Professor of Practice***

Associated clinical practice appointments may either be **compensated or uncompensated**.

Uncompensated appointments are given to individuals who volunteer uncompensated academic service such as service on capstone committees to the School, for which a faculty title is appropriate.

Compensated appointments are given to individuals who teach in one or more programs of the School but who are not appointed to the clinical or tenure-track faculty.

This category of associated faculty may have another paid appointment at OSU (e.g. as a health care provider), but their faculty appointment can be unpaid. This may be appropriate to use for faculty appointments that are expected to be less than three years or for health care providers who are paid through OSU, OSUP, or NCH but are 100% deployed in the community.

Associated clinical practice rank is determined by applying the criteria for appointment of clinical faculty which are described in Section VI. Associated clinical practice faculty members are eligible for promotion (but not tenure) and the relevant criteria for associated practice faculty are those for promotion of clinical faculty.

Associated clinical practice faculty are primarily responsible for teaching, precepting, and, in some cases, coordinating clinical education and simulation experiences for students. Service expectations are similar to those of clinical faculty, with no expectation of scholarship unless desired by the faculty member or hiring manager (and stipulated in the letter of offer).

**Clinical Instructor of Practice.** Appointment at the rank of clinical instructor of practice requires a graduate (e.g., M.S.) degree and/or certification, registration, and/or licensure in a professional area. Typically, two years of experience in the relevant profession is expected in order to support student learning in the professional discipline and evidence of high-quality teaching is highly desired. Typically, clinical practice faculty should have demonstrated the ability to teach students effectively prior to appointment. The expectation is at least one semester of teaching experience in their profession, or active contribution to education through activities such as supervision of students in the clinic, curriculum planning/development, team teaching, membership on divisional committees, or recruitment of students.

**Clinical Assistant Professor of Practice.** Appointment at the rank of clinical assistant professor of practice requires a doctoral degree, certification in the clinical or professional field as relevant, and often an advanced clinical or professional credential. Experience in the relevant profession and evidence of potential for high quality teaching is expected. Typically, clinical practice faculty should have demonstrated the ability to teach students effectively prior to appointment. The expectation is at least one semester of teaching experience in their profession, or active contribution to education through activities such as supervision of students in the clinic, curriculum planning/development, team teaching, membership on divisional committees, or recruitment of students.

**Clinical Associate Professor of Practice/Clinical Professor of Practice.** Appointment at the rank of clinical associate professor or clinical professor of practice requires a doctoral degree and/or certification in the clinical field as relevant and often an advanced clinical or professional credential. Evidence of state and/or national impact and reputation and high-quality teaching are expected. Excellence in their professional activities through accomplishments such as publications, professional service, or education is expected.

### *Lecturers and Senior Lecturers*

**Lecturer.** Appointment as lecturer requires that the individual have, at a minimum, a Master's degree and/or certification, registration, and/or licensure 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 cannot exceed one year. Second and subsequent contracts for lecturers cannot exceed three years.

**Senior Lecturer.** Appointment as senior lecturer requires that the individual have a terminal degree in a field appropriate to the subject matter to be taught or a Master's degree and at least five years of teaching experience with documentation of high quality. Appointment as a Senior Lecturer is for individuals who have substantial accomplishments, experience and training in their field to teach specific course content, as well as experience and demonstrated excellence teaching in higher education. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer cannot exceed one year. Second and subsequent contracts for senior lecturers cannot exceed three years.

### *Tenure Track Assistant Professor, Associate Professor, Professor with FTE below 50%*

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

### *Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor*

Visiting faculty appointments may either be **compensated or uncompensated**. Faculty members on temporary leave from another academic institutions are appointed as a visiting faculty member at the same rank held in that other institution. Visiting faculty appointments may also be used for new senior rank candidates for whom the appointment process is not complete at the time of their employment. The rank at which other (non-faculty) individuals are appointed is determined by the criteria for the appointment to which they will be ultimately employed. Visiting faculty members are not eligible for tenure or promotion. Visiting faculty appointments may be renewed annually for only three consecutive years.

### ***Returning Retiree***

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

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

- Associated faculty with clinical or teaching responsibilities must be a licensed health care provider if required for successful execution of their faculty responsibilities.
- Have significant and meaningful interaction in at least one of the following mission areas of the School of Health and Rehabilitation Sciences: Teaching of students, residents, clinical fellows, undergraduate and graduate students, and postdoctoral fellows: For community health care providers providing outpatient teaching of students, meaningful interaction consists of supervising students for at least one month out of the year.
- Research: These faculty members may collaborate with a School or division in the college in research projects or other scholarly activities.
- Service to the School or the college: This includes participation in committees or other leadership activities (e.g., membership in one of the School's Admissions Committees).
- No ongoing negative behavior such as discrimination, bullying, harassment, retaliation, or promotion of other hostile work conditions.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the "Statement on Professional Ethics" by the American Association of University Professors [[see Appendix C of the College of Medicine's Appointments, Promotion, and Tenure document](#)].

### ***Appointment: Associated Faculty at Advanced Rank***

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

### **Regional Campus Faculty**

As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria for appointment at the tenure-track ranks of assistant professor, associate professor, and professor are similar to those for Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and quality.

Regional campus criteria for the appointment of clinical faculty, research faculty, and associated faculty are the same as those for Columbus campus faculty in each of these categories.

## **Emeritus Faculty**

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

Faculty will send a request for emeritus faculty status to the School Director (regional campus dean for faculty on regional campuses) outlining academic performance and citizenship. The faculty eligible to conduct promotion reviews within the requestor's appointment type (see Section IV.A.1-4) will review the application and make a recommendation to the School Director. The School Director will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-5-04](#), emeritus status will not be considered.

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

## **Joint Appointments**

Joint appointments are created to leverage a faculty member's unique expertise to advance the mission areas of the academic units involved and promote cross-disciplinary collaboration. To establish a joint faculty appointment, a [memorandum of understanding \(MOU\)](#) (see [Faculty Appointments Policy](#), Section 1.B) is developed by all affected TIUs, centers, and/or institutes. The MOU will clearly define the distribution of the faculty member's time commitment to the different units. The MOU will also state the sources of compensation directed to the faculty member, distribution of resources, the planned acknowledgement of the academic units in publications, the manner in which credit for any grant funding will be attributed to the different units, and the distribution of grant funds among the appointing units. Unless other arrangements are specified in the MOU, the TIU in which the faculty member's FTE is greater than 50% will be considered that faculty member's TIU. Joint-appointed faculty may vote on promotion and tenure cases only in their TIU.

## **Courtesy Appointments**

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

## **B. Appointment Procedures**

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

The SHIFT (Strategic Hiring Initiative for Faculty Talent) Framework was designed to identify and recruit broad, qualified applicant pools of extraordinary scholars who are leaders in their respective fields.

Deans, department chairs, and search committee members work in partnership with the Office of Faculty Affairs and other key stakeholders in adherence to this framework to ensure a thorough, fair, and consistent faculty search process. The framework consists of four distinct phases—each of which includes a series of core requirements (must-do action steps) and optimal practices (aspirational action steps)—followed by a fifth phase focused on preboarding and onboarding.

This School adheres in every respect to the Framework requirements as detailed at [SHIFT](#).

All faculty positions must be posted in [Workday](#), the university's system of record for faculty and staff. A formal review and selection process, including interviews using pre-designed evaluation rubrics, is required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in [Workday](#) to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

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

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

### **1. Tenure-track Faculty on the Columbus Campus**

A national search is required to ensure a broad pool of highly qualified candidates for all tenure-track positions. This includes all external candidates for all faculty positions. The only exception is for dual career partners, as described in Chapter 5, section 4.1 of the [Policies and Procedures Handbook](#). Exceptions to this policy must be approved by the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

The dean or designee of the college provides approval for the School 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 School Director appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the School, as further described in the School's [Pattern of Administration](#) (Section VII).

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

If the offer involves senior rank (associate professor or above), solicitation of external letters of evaluation is required and follows the same guidelines as for promotion reviews. If an offer involves senior rank, the eligible faculty members vote on the appropriateness of the proposed rank. If an offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the

appropriateness of prior service credit to the School Director. Appointment offers at the rank of associate professor, with or without tenure, or professor, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

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

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

## **2. Clinical Faculty on the Columbus Campus**

Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the exception that candidates are not asked to provide evidence or plans related to establishing an independent and extramurally funded line of scholarship in their written materials or interviews. As for candidates for appointment to the tenure-track faculty, clinical faculty candidates make a presentation to learners and faculty regarding their scholarship. A national search is required to ensure a broad pool of highly qualified candidates for all clinical faculty positions. As above, faculty appointed to the clinical faculty should evidence a career consistent with the values of the School and aligned with its cultures.

## **3. Research Faculty on the Columbus Campus**

Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that candidates are not asked to provide evidence or plans related to didactic teaching in their written materials or interviews. As for candidates for appointment to the tenure-track faculty, research faculty candidates make a presentation to learners and faculty regarding their scholarship. A national search is required to ensure a broad pool of highly qualified candidates for all research faculty positions. As above, faculty appointed to this track should evidence a career consistent with the values of the college and aligned with its cultures.

## **4. Transfers: Track and TIU**

Transfers between faculty categories are permitted only under the strict guidelines detailed in the paragraphs below, per University Rules [3335-7-09](#), [3335-7-10](#), [3335-7-38](#) and [3335-7-39](#). A transfer to a different appointment type should be motivated by a clear change in a faculty member's career orientation and goals. An engaged, committed, productive faculty should be the ultimate goal of all appointments.

### ***Transfer: Tenure-Track to Clinical Faculty***

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

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

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

#### ***Transfer: Tenure-Track to Research Faculty***

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

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

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

#### ***Transfer: Clinical or Research to Tenure-Track***

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

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

#### ***Transfer: Tenure Initiating Unit (TIU Transfer)***

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

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

### **5. Associated Faculty on the Columbus Campus**

The appointment of **compensated** associated faculty members follows a formal search following the SHIFT Framework, which includes a job posting in Workday (see Section IV.B above) and candidate interviews. The appointment is then decided by the School Director based on recommendation from the search committee. The School Director may delegate negotiation of the Letter of Offer to the appropriate division, program, or center director.

If an offer involves senior rank (e.g., senior lecturer), the eligible faculty members vote on the appropriateness of the proposed rank. The eligible faculty reports a recommendation on the appropriateness of the proposed rank to the School Director.

The reappointment of all **compensated** associated faculty members is decided by the School Director in consultation with the division, program, or center director.

Appointments for **compensated** Clinical Instructors of Practice, Clinical Assistant Professors of Practice, Clinical Associate Professors of Practice, and Clinical Professors of Practice typically are made for a period of one to three years, with a three-year contract the most common.

Appointments to an **uncompensated (unpaid)** associated faculty position require no formal search process.

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

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

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

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

## **6. Regional Campus Faculty**

The appointment of all compensated regional campus faculty follows a formal search following the **SHIFT** Framework, which includes a job posting in **Workday** and candidate interviews.

The regional campus has primary responsibility for determining the position description for a tenure-track faculty search, but the regional campus dean or designee consults with the School Director to reach agreement on the description before the search begins. The regional campus search committee must include at least one representative from the School.

Candidates are interviewed by, at a minimum, the regional campus dean, School Director, and either the regional campus search committee or broader representation of the regional and Columbus faculties. The regional campus may have additional requirements for the search not specified in this document. A hiring decision requires agreement by the School Director and regional campus dean. Until agreement is reached, negotiations with the candidate may not begin, and the letter of offer must be signed by the School Director and the regional campus dean.

Searches for regional campus clinical faculty, research, and associated faculty are the same as those described above for tenure-track faculty.

## **7. Joint Appointments**

A TIU may propose a joint appointment for a faculty member from another OSU TIU as described in Section IV.A.7. The potential for a joint appointment is typically evaluated during the recruitment process and, as such, is subject to all criteria outlined above for each faculty category.

Approval of the joint appointment by the Office of Academic Affairs is dependent on establishing a mutually agreed-upon arrangement between the TIU heads, college dean(s), and the faculty member. An [MOU](#) signed by all parties, including the Office of Academic Affairs, must describe in detail the arrangements of the joint appointment. Administrative approval will be dependent on whether satisfactory fiscal arrangements have been made.

## **8. Courtesy Appointments for Faculty**

Any School faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State tenure-initiating unit. If the courtesy appointment is specific to a division or program, then the request must come from the division or program director. If the candidate accepts the nomination, the candidate submits their credentials, and the division or program director provides a written nomination to the School Director requesting the appointment and indicating the faculty rank and the expected role to be filled by the faculty member. The request must be accompanied by a curriculum vita. The School Director forwards the request to the Committee of the Eligible Faculty for review and evaluation. The School Director reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

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

The School follows the requirements for the annual performance and merit review as set forth in the [Policy on Faculty Annual Review, Post-Tenure Review, and Reappointment](#), which stipulates that such reviews must include a scheduled opportunity for a face-to-face meeting for all probationary faculty, an opportunity for a face-to-face meeting for all other compensated faculty member, as well as a written assessment. According to the policy, the purposes of the review are to:

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

The annual performance and merit review of a faculty member is the responsibility of that faculty member's School Director or designee. The designee or a subcommittee of the eligible faculty may provide a written assessment to the School Director. The School Director or designee must schedule a face-to-face meeting with all probationary faculty as part of the review. An opportunity for a face-to-face meeting with the School Director or designee must be provided to all tenured and non-probationary faculty.

In all cases, accountability for the annual review process resides with the School Director. This must be a thorough review that accurately reflects the faculty member's performance in the previous year.

- Depending on a faculty member's appointment type, the review is based on expected performance in teaching, scholarship, service, and/or administrative workload as set forth in the School's guidelines on faculty duties, responsibilities, and workload; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.
- This written annual review must include a summary assessment of performance that denotes at minimum whether the faculty member exceeds expectations, meets expectations, or does not meet expectations in each of the areas in which the faculty member spent 5% of more of effort during the evaluative period. The expected standard for each area is to meet expectations. Criteria for these ratings are shown in the [Appendix](#) of this document.
- Student evaluations must account for 25% of the evaluation of teaching (including but not limited to classroom instruction, advising, mentoring, and new course development).
- The review must include the College of Medicine's expectation for collegiality. Faculty are expected to set a high example of collegiality in the workplace with respect for personal boundaries.
- The review of faculty with budgeted joint appointments must include input from the joint appointment TIU head for every annual evaluation cycle. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on goals specific to the individual in the joint unit.
- Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.
- Annual reviews are completed as a collaboration between the School Director and the designee (typically the program, division, or center director) to ensure communication about the faculty's performance and trajectory is clear and comprehensive.
- All annual reviews will use the OAA [Annual Review template](#) to provide a narrative evaluation and signed by the School Director and designee (when appropriate). Faculty will receive the evaluation with the opportunity to sign as well.
- Per Faculty Rule [3335-3-35](#), School Directors 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 dean must assess an annual performance and merit review when the School has submitted (1) a Report of Non-Renewal of Probationary Appointment of Faculty; (2) the fourth-year review of a probationary faculty member; or (3) a Report of Contract Renewal or Non-Renewal for clinical faculty or research faculty. In each of these cases, the decision of the dean is final.

## **A. Documentation**

For their annual performance and merit review, compensated faculty members must submit the following documents to the School Director no later than April 1st:

- Office of Academic Affairs [dossier outline](#) (*required for all probationary and non-probationary faculty*)
  - In lieu of the updated dossier, an updated CV can be submitted by associated faculty.
- Updated CV, which will be made available to all faculty in an accessible location (*all faculty*)

The review period for annual reviews in the School is the fiscal year, July 1<sup>st</sup> of the previous calendar year to June 30<sup>th</sup> of the current calendar year. All reviews shall be completed and forwarded to the College no later than September 1<sup>st</sup>. It is understood that at the time of submission of documents on April 1<sup>st</sup>, the dossier and CV will not contain activities and publications that occur in April, May, or

June; faculty are given the opportunity to update their dossiers as appropriate until the final review is completed.

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

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

## **B. Probationary Tenure-track Faculty on the Columbus Campus**

Every probationary tenure-track faculty member is reviewed annually by the School Director and, whenever possible, the faculty member's direct supervisor (typically the division, program, or center director), who meet with the faculty member to discuss their performance, future plans, and goals; and prepare a written evaluation that includes a recommendation on whether to renew the probationary appointment. The APT Committee will provide the School Director with an overall written assessment of the progress of the candidate, which will be incorporated by the School Director into the annual review.

On an annual basis the probationary faculty member will provide to the School Director, APT Committee, and their direct supervisor a written report using the OAA [Annual Review template](#) describing activities during the preceding year as well as plans for the next year. It is expected that this report will include student teaching evaluations, a summary of funded and pending grants as well as a list of published and submitted papers. The report should also include a list of all service activities i.e., division, School, college, and university committees as well as a summary of all other professional activities. If an assistant professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. In addition to documentation of the candidate's achievements, the report may also contain any information documenting why it was not possible to achieve objectives and whether commitments made by the School, College or University were not fulfilled as promised. The School Director shall then provide the faculty member with an overall letter of evaluation including whether the faculty member exceeds expectations, meets expectations, or does not meet expectations in each of the areas in which the faculty member spent 5% of more of effort during the evaluative period (see the [Appendix](#) for definitions of these ratings). A copy of this letter is retained in the candidate's file and sent to the Dean of The College of Medicine.

If the School Director recommends renewal of the appointment, this recommendation is final. The School Director'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 School Director's letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if provided).

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

## **1. Fourth-Year Review**

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exceptions that external evaluations are optional and the dean (not the School Director) makes the final decision regarding renewal or nonrenewal of the probationary appointment. In addition, review by the College of Medicine Promotion and Tenure Committee is not mandatory when both the School Director and the dean approve the renewal of the appointment. The objective of this review will be to determine if adequate progress towards the achievement of promotion and tenure is being made by the candidate.

External evaluations are solicited only when either the School Director or the Committee of Eligible Faculty (CEF) determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the scholarship without outside input.

The CEF 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 CEF forwards a record of the vote and a written performance review to the School Director, who conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the School review, the formal comments process (per Faculty Rule [3335-6-04](#)) is followed and the case is forwarded to the college for review including both the School Director's and the CEF evaluations, regardless of whether the School Director recommends renewal or nonrenewal.

If either the School Director or the dean recommends nonrenewal of a faculty member's probationary contract, the case will be referred to the college's Promotion and Tenure Committee, which will review the case, vote and make a recommendation to the dean. The dean makes the final decision regarding renewal or nonrenewal of the probationary appointment.

In all cases, the dean or their designee independently evaluates all faculty in their fourth year of probationary appointment and will provide the School Director with a written evaluation of the candidate's progress.

## **2. Extension of the Tenure Clock**

Faculty Rule [3335-6-03 \(D\)](#) sets forth the conditions under which a probationary tenure track faculty member may extend the probationary period. Faculty Rule [3335-6-03 \(E\)](#) does likewise for reducing the probationary period. A faculty member remains on duty regardless of extensions or reductions to the probationary period, and annual reviews are conducted in every probationary year regardless of time extended or reduced. Approved extensions or reductions do not limit the School's right to recommend nonrenewal of an appointment during an annual review.

## **C. Annual Review Procedures: Tenured Faculty on the Columbus Campus**

Associate professors are reviewed annually by the School Director and/or the faculty member's supervisor, typically the division, program, or center director, or Director of Faculty and Staff Affairs (henceforth called 'designee'). In the case of a designee, the designee submits a written performance review to the School Director along with comments on the faculty member's progress toward

promotion. The School Director or designee conducts an independent assessment; meets with the faculty member to discuss his/her/their performance and future plans and goals; and prepares a written evaluation on these topics. If an associate professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The faculty member may provide written comments on the review. Accountability for the annual review process resides with the School Director. The School Director shall then provide the faculty member with an overall letter of evaluation including whether the faculty member exceeds expectations, meets expectations, or does not meet expectations in each of the areas in which the faculty member spent 5% of more of effort during the evaluative period (see the [Appendix](#) for definitions of these ratings). At least once every three years, the annual review process also includes review by the eligible faculty. The APT Committee will provide the School Director with an overall written assessment of the progress of the candidate, which will be included in the faculty member's annual review packet.

Professors are reviewed annually by the School Director and/or their designee (Director of Faculty and Staff Affairs or supervisor, typically the division, program, or center director), who meets with the faculty member to discuss their performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the School, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to the School, the college, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest-ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty. At least once every three years, the annual review process also includes review by the eligible faculty. The APT Committee will provide the School Director with an overall written assessment of the progress of the candidate, which will be included in the faculty member's annual review packet.

If a faculty member has an administrative role, the impact of that role and other assignments will be considered in the annual review. The School Director or designee prepares a written evaluation of performance against these expectations, including whether the faculty member exceeds expectations, meets expectations, or does not meet expectations in each of the areas in which the faculty member spent 5% of more of effort during the evaluative period (see the [Appendix](#) for definitions of these ratings). The faculty member may provide written comments on the review. Accountability for the annual review process resides with the School Director.

### **Post-Tenure Review**

A post-tenure review, in accordance with Faculty Rule [3335-5-04.5](#), will be initiated if a tenured faculty member receives a “does not meet performance expectation” rating in the same evaluative category (i.e. teaching, scholarship, service, administration, see the [Appendix](#) for criteria) in at least two of the past three consecutive annual reviews. A faculty member who retains tenure following a post-tenure review will be subject to an additional post-tenure review if they receive a “does not meet performance expectations” rating in any area of their annual review in the two years subsequent to a post-tenure review. The department chair, dean, or executive vice president and provost may require an immediate and for cause post-tenure review at any time for a faculty member who has a documented and sustained record of significant underperformance outside of the faculty member's annual performance evaluation. For this purpose, for cause may not be based on a faculty member's allowable expression of academic freedom as defined by the university or Ohio law. This process and subsequent reviews are detailed in the [Policy on Faculty Annual Review, Post Tenure Review, and Reappointment](#).

## **D. Annual Review Procedures: Clinical Faculty on the Columbus Campus**

The annual performance and merit review process for clinical probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty respectively, except that non-probationary clinical faculty may participate in the review of clinical faculty of lower rank. If a clinical faculty member has an administrative role, the impact of that role and other assignments will be considered in the annual review. Accountability for the annual review process resides with the School Director. An independent evaluation of clinical probationary faculty is also performed annually by the Appointments, Promotion and Tenure (APT) Committee. For non-probationary clinical faculty, the APT Committee performs an independent evaluation once every three years.

In the penultimate contract year of a clinical faculty member's appointment, whether initial or reappointment, the School Director must determine whether the position held by the faculty member will continue. A formal performance review is necessary to determine whether the faculty member will be offered reappointment. The reappointment review requires a dossier which is reviewed by the committee of eligible faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

## **E. Annual Review Procedures: Research Faculty on the Columbus Campus**

The annual performance and merit review process for research probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty, respectively, except that non-probationary research faculty may participate in the review of research faculty of lower rank. Accountability for the annual review process resides with the School Director. An independent evaluation of probationary research faculty is also performed annually by the Appointments, Promotion and Tenure (APT) Committee. For non-probationary research faculty, the APT Committee performs an independent evaluation once every three years.

In the penultimate contract year of a research faculty member's appointment, whether initial or reappointment, the School Director must determine whether the position held by the faculty member will continue. A formal performance review is necessary to determine whether the faculty member will be offered reappointment. The reappointment review requires a dossier which is reviewed by the committee of eligible faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

For faculty in one- and two-year appointment terms, the School will ensure these faculty receive the appropriate review and notification according to their term.

## **F. Annual Review Procedures: Associated Faculty on the Columbus Campus**

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

**Compensated** associated faculty members on a *recurring annual or multiple year appointment* are reviewed annually by the School Director, or designee, who prepares a written evaluation and meets with the faculty member to discuss his/her/their performance, future plans, and goals. The School Director's decision on reappointment is final.

**Compensated** associated faculty on *semester contracts* (e.g., *semester lecturer*) are reviewed annually by the School Director or designee (typically the program, division, or center director), who prepares a written evaluation and meets with the faculty member to discuss their performance, future plan and goals. The School Director's decision on reappointment is final.

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

## **G. Regional Campus Faculty**

**Regional campus tenure-track faculty** are reviewed according to the process established on that campus, with the review focusing on teaching and service. Following the review by the regional campus, the regional campus dean meets with the School Director for each regional campus faculty member for evaluation of the faculty member's research and creative activity during the review period. The regional campus dean provides an annual performance and merit review letter. In the event of divergence in performance assessment between the regional campus and the School, the School Director discusses the matter with the regional campus dean in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice. For probationary tenure-track faculty, in the event that the regional campus dean recommends renewal and the School Director recommends nonrenewal, the case shall be reviewed by the college dean or their designee, with the college dean's or their designee's judgment prevailing.

**Regional campus clinical faculty** are reviewed according to the process established on that campus, with the review focusing on teaching and service. The regional campus dean will provide the School Director a copy of a clinical faculty member's annual performance and merit review letter.

The annual performance and merit review of **regional campus research faculty** takes place on the Columbus campus and follows the same procedures as those described above for Columbus campus research faculty. Following the review, the School Director will consult with the regional campus dean. The School Director will provide the regional campus dean a copy of the faculty member's annual performance and merit review letter.

**Regional campus associated faculty** are reviewed according to the process established on that campus, with the review focusing on teaching and service, as applicable.

## **H. Salary Recommendations**

The School Director makes annual salary recommendations to the dean, who may modify them. The recommendations are based on the current annual performance and merit review as well as on the performance and merit reviews of the preceding 24 months.

In formulating recommendations, the School Director consults with the School's Executive Committee. The School Director should proactively engage in an annual equity audit of faculty salaries to ensure that they are commensurate both within the School and across the field or fields represented in the School. Salary increases should be based upon these considerations.

Merit salary increases and other salary changes made by the School will be made consistent with its APT document and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the University Office of Academic Affairs, and (4) the Office of Human Resources.

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

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

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

Faculty who fail to submit the required documentation (see Section VI-A above) for an annual performance and merit review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

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

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.*

### **A. Criteria and Evidence that Support Promotion**

Promotion of faculty represents the totality of the impact of a candidate's work and trajectory over time. Impact refers to the direct effect of one's work on science, education, healthcare and health sciences, professions, and community. It is expected that the candidate will demonstrate a commitment to the School's values, integrating them across scholarly, teaching, mentoring, and/or service activities.

In evaluating a candidate's qualifications in teaching, scholarship, and service, reasonable flexibility will be exercised. For candidates being awarded tenure only or those moving to the rank of Professor, accomplishments since appointment to Associate Professor or the submission of their dossier for the last promotion are considered. As the School of Health and Rehabilitation Sciences emphasizes interdisciplinary endeavors (team science; interprofessional and collaborative science) and program development, instances will arise in which the work of a faculty member may depart from traditional academic patterns. Thus, care must be exercised to apply criteria flexibly, but without compromise in requiring the essential qualifications for promotion. Insistence upon this high standard for faculty is necessary for the maintenance and enhancement of the University as an institution dedicated to the discovery and transmission of knowledge.

Although institutional citizenship and collegiality are expected, they cannot be used as an independent criterion for promotion or tenure. It is recognized that these positive attributes characterize the ability of a faculty member to effectively contribute to exemplary scholarship, teaching and service.

A commitment to these values and principles is demonstrated, for example, by participation in faculty governance and community outreach; activities related to the University's [Shared Values](#); adherence to principles of the responsible conduct of research; constructive conduct and ethical behavior during the discharge of responsibilities and authority; and the exercise of rights and privileges consistent with the [American Association of University Professors' Statement on Professional Ethics](#).

This School is committed to assessing the practice of these values and principles as part of all performance evaluations.

### **Defining Impact for Promotion**

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

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

#### **Scholarly Activity**

Fundamental to promotion in the clinician educator and clinician scholar pathways, research faculty and tenure-track is evidence of continuous scholarly productivity and an evaluation of the totality of the impact of a candidate's body of work. Any area of research consistent with mission of the College of Medicine (COM) is acceptable as long as impact and an upward trajectory of a candidate's achievements

over time can be demonstrated. The nature of scholarly activity may also differ between faculty appointment types and pathways. For the clinician educator pathway, for example, scholarly activity typically focuses on the scholarship of education, including but not limited to innovative teaching and educational practices, delivery methods, and/or interventions, instructional design, and curriculum development. For the clinician scholar pathway, scholarly activity typically reflects translational sciences, clinical research, and/or health services research. For all faculty appointment types and pathways, demonstration of impact entails providing evidence of successful translation of new knowledge into new approaches, techniques, devices, programs, etc. and may include:

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

## **Education**

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

### *High quality engagement*

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

### *Excellence in education*

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

- National leadership roles in education/training committees and professional societies.

### **Service**

Promotion in the tenure-track, clinical, and research faculty is also a recognition of the totality of the impact of a candidate's service to the division, school, college, university, and profession as measured by high quality engagement and sustained excellence. Promotion to professor requires ongoing engagement and demonstrated leadership in service.

#### *High quality engagement*

- Service on committees in the division/program/center, school, college, and/or university
- Other activities in support of the missions of the division, school, college, and/or university
- Local, regional, national, and/or international service activities that demonstrate their recognition, support their profession, and/or relate to their scholarship

#### *Excellence in Service*

- Active service on school committees with demonstrated outcomes
- Participation in recruitment and outreach events, program and school events and initiatives
- Development of novel programs
- Participation in College and/or University committees, work groups, task forces, or councils
- Membership on editorial boards or editorships
- Service as a grant reviewer for national or international funding agencies
- Elected or appointed offices held and other service to local and national professional societies
- Service on panels and commissions
- Professional consultation to industry, government, community, education, and/or non-profit organizations, whether performed as part of their faculty role at the University or under the [Outside Activities and Conflicts Policy](#)
- Involvement in accreditation and credentialing activities
- Administrative activities for those with administrative appointments in the School, College, University, or their profession
- For faculty who have clinical responsibilities provided through a joint appointment or memorandum of understanding with a clinical department, leadership and innovation in clinical activities

### **Non-Traditional Assessment of Impact**

Non-traditional methodologies including social media portfolios such as blog/vlog/podcast/vodcast authorship/editorial duties or professional media engagement on educational and scholarly topics can be assessed using Altmetrics data. These non-traditional metrics do not in and of themselves demonstrate impact but can be used to further demonstrate the diffusion of the work and the reputation of the faculty member. Resources for non-traditional evidence of impact/reputation include:

- Information on creating impact statements with Altmetric data may be found [here](#).
- Cabrera D, Vartabedian BS, Spinner RJ, Jordan BL, Aase LA, Timimi FK. *More Than Likes and Tweets: Creating Social Media Portfolios for Academic Promotion and Tenure*. J Grad Med Educ. 2017 Aug;9(4):421-425. doi: 10.4300/JGME-D-17-00171.1. PMID: 28824752; PMCID: PMC5559234.
- Husain A, Repanshek Z, Singh M, Ankel F, Beck-Esmay J, Cabrera D, Chan TM, Cooney R, Gisondi M, Gottlieb M, Khadpe J, Repanshek J, Mason J, Papanagnou D, Riddell J, Trueger

NS, Zaver F, Brumfield E. *Consensus Guidelines for Digital Scholarship in Academic Promotion*. West J Emerg Med. 2020 Jul 8;21(4):883-891. doi: 10.5811/westjem.2020.4.46441. PMID: 32726260; PMCID: PMC7390542.

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

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

Faculty Rule [3335-6-02](#) provides the following general criteria for promotion to associate professor with tenure:

*The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high-quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.*

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

The award of tenure is an acknowledgement of excellence and future potential for preeminence. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the School's academic mission at a high level for the duration of their time at the university.

Promotion to the rank of associate professor with tenure occurs when a faculty member exhibits convincing evidence of excellence in scholarship, as demonstrated by a national level of impact and recognition of scholarship. **Achievement of national recognition and impact in scholarship is a prerequisite for promotion to associate professor and awarding of tenure.** In addition, excellence in teaching and service is required, but alone is not sufficient for promotion and awarding of tenure. The quality of these activities should be demonstrable at the college, university and/or national levels. Faculty being promoted to associate professor should exhibit professionalism and foster a safe and collaborative work environment. These three key areas of achievement: scholarship, teaching and service, are individually discussed below. All of the criteria presented in the tables can be used to demonstrate excellence in teaching and mentoring and excellence, national recognition and impact in scholarship and service.

Every candidate is held to a high standard of excellence in all aspects of performance. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. For example, if a candidate's primary teaching role is and will continue to be graduate teaching, then excellence in graduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities. 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.

Excellence in teaching, scholarship, and service is moreover defined to include professional ethical conduct in each area of responsibility, consistent with the [American Association of University Professors' Statement on Professional Ethics](#).

TEACHING and MENTORING	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Strong and consistent record of effective teaching and mentoring	<ul style="list-style-type: none"> <li>Evidence of serving as a course director or developing new courses, including course materials and curricula.</li> <li>Teaching of assigned courses, including annual updating of course content.</li> <li>Serve assigned roles in supervising and mentoring students (e.g. advising, serving as a member of thesis, dissertation, capstone, or examination committees).</li> <li>Outcomes of successful learner mentorship (<b>required</b>) including student progress and accomplishments, scholarly productivity, and career trajectories</li> <li>Continuing education lectures at state and national meetings, invited presentations or peer reviewed presentations of an educational nature, and/or authoring of books and book chapters relevant to education</li> <li>Documentation of other mentoring activities and their outcomes.</li> <li>Scholarship of teaching and learning</li> <li>Informal mentorship and the formal/structured mentorship of faculty are also highly valued.</li> </ul>
Evaluations from students, residents, fellows, and peers	<ul style="list-style-type: none"> <li>Compilation of positive evaluations from students, residents, fellows, local colleagues, and national peers.</li> <li>Feedback and testimonials highlighting teaching effectiveness.</li> </ul>
Contribution and impact on teaching and training programs	<ul style="list-style-type: none"> <li>Detailed accounts of the faculty members' contributions to teaching and training programs.</li> <li>Examples of curricular innovation, new teaching modalities, and program development.</li> <li>Involvement in educational training grants.</li> </ul>
Recognition of teaching excellence through awards and honors	<ul style="list-style-type: none"> <li>List of teaching awards and honors received, indicating recognition of teaching excellence.</li> </ul>
Impactful, innovative programs integrating teaching, research, and hands-on training	<ul style="list-style-type: none"> <li>Descriptions of programs developed by the faculty members that integrate teaching, research, and practical experience.</li> <li>Evidence of the program's impact on students and the institution.</li> </ul>
Contributions to improving cultural competence and access to teaching	<ul style="list-style-type: none"> <li>Initiatives or programs led by the faculty member to improve cultural competence or access to teaching for underserved populations.</li> <li>Documentation of the impact of these efforts, such as enhanced cultural understanding among students.</li> </ul>

SCHOLARSHIP: PUBLICATIONS	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Sustained record of publications	<ul style="list-style-type: none"> <li>List 12-14 relevant peer-reviewed publications since the assistant professor's appointment. This is a suggested range and flexibility will be used in determining if a candidate's publications, scope, and impact meet the criteria of a sustained record of publications.</li> <li>Continuous scholarly output documentation reflecting quality and quantity.</li> </ul>

Quality and impact of publications	<ul style="list-style-type: none"> <li>Evidence of the impact/quality of journals in which peer-reviewed work is published.</li> <li>Metrics detailing total publications, citation counts, and publication trajectory.</li> <li>Non-traditional impact metrics, including social media reach, altmetrics scores, and non-academic presentations.</li> <li><b>Analysis of publication impact in the context of norms in the field (required).</b></li> <li><i>For some professions, conference proceedings and/or published technical reports are equivalent to peer-reviewed journal publications and should be counted as such when appropriately justified by the candidate and corroborated by external reviewers.</i></li> </ul>
Contributions	<ul style="list-style-type: none"> <li>Documentation of substantial research contributions where the faculty member was pivotal.</li> <li>Intellectual contribution details within the dossier for significant publications.</li> </ul>
Independence and originality in scholarship	<ul style="list-style-type: none"> <li>Evidence of original research and contributions that clearly distinguish the faculty member's work from that of mentors or collaborators.</li> <li>Publications where the faculty member is the primary investigator or author, demonstrating independent thought and research direction.</li> </ul>
National reputation & Impact of scholarship on the field	<ul style="list-style-type: none"> <li>Concrete examples of how the scholarship has influenced the field, including adopting methods, peer citation, or implementing findings in practice.</li> <li>Testimonials or third-party evaluations attest to the significance and impact of the scholarship.</li> <li>Invitations to present research at national or international conferences</li> <li>Invited service on grant review panels or editorial boards of high-impact journals are also indicators of national reputation.</li> </ul>
Contribution to the body of knowledge	<ul style="list-style-type: none"> <li>A list of contributions that significantly advanced the field, including peer-reviewed publications, book chapters, edited volumes, or other scholarly outputs.</li> <li>Documentation of how the broader academic community and industry have received and utilized these contributions, if applicable.</li> </ul>
Research Leadership and Contributions	<ul style="list-style-type: none"> <li>Records showing first, senior, or corresponding authorship in key publications.</li> <li>For independent research, evidence of substantial authorship in significant publications.</li> </ul>
Collaborative, multidisciplinary research	<ul style="list-style-type: none"> <li>Collaborative research documentation highlighting indispensable contributions.</li> <li>Documentation of the faculty's role in multi-authored works, especially for middle authorship.</li> </ul>
Strong field expertise through publications	<ul style="list-style-type: none"> <li>The number of peer-reviewed research articles or proceedings showcasing field expertise.</li> <li>Review articles and book chapters were included to indicate field expertise, with a cap of less than 30% of the total publication list.</li> </ul>

SCHOLARSHIP: EXTERNAL GRANTS	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Sustained or multiple external peer-reviewed grants (required)	<ul style="list-style-type: none"> <li>List of grants awarded with details such as funding agency, title, amount, and duration.</li> <li>Evidence of renewals or additional grants demonstrating sustainability and recognition in the field.</li> <li>Demonstrated ability to obtain and sustain their research program through extramural funding from federal, industry, foundation and/or other sources that provides salary support consistent with the letter of offer and annual reviews and is sustained over time. <b>NIH funding is not required for promotion.</b></li> <li>Attaining a priority score or other indicator of quality in a grant submitted may be considered in lieu of funding when the dossier clearly demonstrates that the candidate's publication record and other evidence of excellence in scholarship has produced a growing national reputation.</li> </ul>
Leadership and independence in grants	<ul style="list-style-type: none"> <li>Documentation of roles as PI or MPI on significant grants that sustain their research program, or, in the case of team or highly collaborative science, as Co-Investigator with a demonstrated unique and indispensable contribution to the project(s).</li> <li>Evidence of leadership in multidisciplinary, externally supported studies.</li> </ul>

<b>SCHOLARSHIP: EXTERNAL GRANTS</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Leadership in team science grants	<ul style="list-style-type: none"> <li>• Roles as a primary leader (e.g., Core Director) in large team-based research projects.</li> <li>• Documents demonstrating leadership and independence within team science settings, including industry and community collaborations.</li> </ul>

<b>SCHOLARSHIP: ENTREPRENEURSHIP</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Evidence of entrepreneurial activities	<ul style="list-style-type: none"> <li>• Patents, licenses, and invention disclosures with details on relevance and impact.</li> <li>• Formation of startup companies and involvement in technology commercialization.</li> </ul>
Contribution to scholarship through entrepreneurship	<ul style="list-style-type: none"> <li>• Documentation of invention disclosures, copyrights, and patents equates to scholarly outputs like meeting abstracts or peer-reviewed manuscripts.</li> <li>• Revenue-generating licensing activities are considered equivalent to extramural grant awards.</li> </ul>
Impact of entrepreneurship on the field	<ul style="list-style-type: none"> <li>• Metrics include citations for related publications, downloads, and developed software or tools.</li> <li>• Engaging in reciprocal partnership with the community, involving mutually beneficial exchanges of knowledge and the creation, delivery and assessment of timely, unbiased, educational materials and programs that address relevant, critical and emerging issues.</li> <li>• Diffusion, utilization, and uptake of products, programs, and technologies by communities and populations.</li> </ul>

<b>SERVICE</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Effective service at the division and school levels	<ul style="list-style-type: none"> <li>• Service on 1-2 division committees</li> <li>• Service on School committee(s)</li> <li>• Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>• Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> </ul>
Administrative service to the college and university	<ul style="list-style-type: none"> <li>• Participation in College and/or University committees, work groups/task forces, or councils is not a requirement, but is considered a high impact activity.</li> <li>• Contributions to peer reviews and editorial boards and development of innovative programs that advance the university's mission.</li> </ul>
Contribution to professional service within the faculty member's discipline	<ul style="list-style-type: none"> <li>• Evidence of participation in ad hoc journal reviews, editorial boards, or editorships.</li> <li>• Roles as grant reviewers for national funding agencies.</li> <li>• Elected or appointed offices in professional societies, served on panels and commissions and contributed to local and national professional societies.</li> </ul>
Provision of professional expertise to public and private entities beyond the University	<ul style="list-style-type: none"> <li>• Documentation of professional consultations to industry, government, education, and non-profit organizations.</li> <li>• Contributions to panels, advisory boards, and commissions that impact the broader community or field.</li> </ul>
Development and leadership of innovative programs advancing the university's mission	<ul style="list-style-type: none"> <li>• Descriptions of innovative programs created to deliver healthcare to the community or address societal challenges.</li> <li>• Evidence of the sustainability and impact of these programs, including outcomes and recognitions.</li> </ul>

**b. Promotion to Professor**

Faculty Rule [3335-6-02](#) establishes the following general criteria for promotion to the rank of professor:

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

Awarding promotion to the rank of professor with tenure must be based upon convincing, unequivocal evidence the candidate has a sustained eminence in their field with a record of achievement recognized by national leadership and/or international recognition (required) and impact [see descriptions in Section VI.A.1] with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national leadership or international reputation in the field. When assessing a candidate's national leadership and international reputation in the field, a national and international reputation for the scholarship of teaching may be counted as either teaching or scholarship.

The general criteria for promotion in scholarship, teaching and service require more advanced and sustained quantity, quality, and impact than that required for promotion to associate professor. Importantly, the standard for external reputation is substantially more rigorous than for promotion to associate professor with tenure. This record of excellence must be evident from activities undertaken and accomplishments achieved since being appointed or promoted to the rank of associate professor. All of the criteria presented in the tables below can be used to demonstrate excellence, national leadership, and international reputation across teaching, scholarship, and service.

It is expected that the faculty member will have a consistent record of high-quality publications with demonstrated impact well beyond that required for promotion to associate professor. Faculty being promoted to professor should exhibit professionalism, positive values and foster a safe and collaborative work environment.

In addition, as further specified by Faculty Rule [3335-6-02](#), assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another. Promotion should reflect the reality that (a) not all faculty members have the same distribution of assignments (b) not all faculty members will be able to contribute excellence equally in all evaluation dimensions; and (c) there is a multi-faceted institutional responsibility that must be achieved by the skills of the faculty collectively. Every candidate is held to a high standard of excellence in all aspects of performance. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. For example, if a candidate's primary teaching role is and will continue to be graduate teaching, then excellence in graduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities. Promotion to professor should be awarded not only to those faculty who have demonstrated impact in their scholarship of research and creative inquiry, teaching and learning, and service, but also to those who have exhibited excellence in leadership to make visible and demonstrable impact upon the mission of the School, college and university.

TEACHING AND MENTORING	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Continued strong and consistent record of effective teaching and mentoring	<ul style="list-style-type: none"> <li>Teaching evaluations from students, residents, fellows, local colleagues, and national peers, showing consistently high performance.</li> <li>Documented outcomes of mentees, including successful career advancements, publications, and contributions to the field.</li> <li><b>Have graduated one or more PhD student mentees (required).</b></li> </ul>
Development and leadership in new courses and programs	<ul style="list-style-type: none"> <li>Evidence of new course development, including course syllabi, content, and student feedback.</li> <li>Leadership roles in program development, such as training program directorships or creating innovative educational initiatives.</li> </ul>
Innovation in teaching methodologies and modalities	<ul style="list-style-type: none"> <li>Documentation of innovative teaching practices, such as web-based design, mobile applications, virtual teaching, and new methods of evaluating teaching effectiveness.</li> <li>Examples of how these innovations have been adopted or recognized by others in the field.</li> </ul>
Significant contributions to teaching and training programs	<ul style="list-style-type: none"> <li>Evidence of impactful contributions to curricular innovation, program or course development, and publications on teaching.</li> <li>Recognition of the faculty member's role in enhancing teaching and training programs, including teaching awards and honors.</li> </ul>
Mentorship of early career faculty and impact on their professional development	<ul style="list-style-type: none"> <li>Documented mentorship relationships with early career faculty, including mentees' achievements and testimonials about the mentorship's impact.</li> <li>Evidence of the faculty member's influence on early career colleagues' career paths, research opportunities, and professional growth.</li> </ul>
Enhancement of cultural competence and accessibility in education	<ul style="list-style-type: none"> <li>Initiatives or programs led by the faculty member to improve cultural competence or access to education for underserved populations.</li> <li>Documentation of the impact of these efforts on the educational environment or enhanced cultural understanding among students and faculty.</li> </ul>
National and international recognition for contributions to education	<ul style="list-style-type: none"> <li>Invitations to organize or contribute to national or international courses, workshops, curricula, and/or education standards.</li> <li>Election or appointment to leadership positions in educational committees or societies, reflecting recognition of the faculty member's contributions to the field of education.</li> <li>Awards and recognitions received from professional societies or institutions for excellence in teaching and mentoring, including recognition of outstanding mentoring of trainees, fellows, and early career faculty in T, F K, and similar awards.</li> </ul>

SCHOLARSHIP: PUBLICATIONS	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Sustained and enhanced quality and quantity of scholarly productivity	<ul style="list-style-type: none"> <li>List of 12-14 peer-reviewed publications or proceedings since promotion to Associate Professor, demonstrating an advanced scholarly output. This is a suggested range and flexibility will be used in determining if a candidate's publications, scope, and impact meet the criteria of a sustained record of publications.</li> <li>Evidence of impactful work published in highly respected journals.</li> <li><i>For some professions, conference proceedings and/or published technical reports are equivalent to peer-reviewed journal publications and should be counted as such when appropriately justified by the candidate and corroborated by external reviewers.</i></li> </ul>
National leadership and/or international reputation for significant scholarly contributions (required)	<ul style="list-style-type: none"> <li>Documentation of citations, awards, and recognitions that reflect the national or international impact of the publications.</li> <li>Invitations to present at prestigious conferences or institutions as a testament to the scholar's reputation in the field.</li> </ul>
Leadership and Independence in	<ul style="list-style-type: none"> <li>Evidence showing the candidate as the first, senior, or corresponding author in high-impact publications and providing the number of these publications.</li> </ul>

research and publications	<ul style="list-style-type: none"> <li>Documentation of the candidate's critical and essential role in advancing the research field through these publications.</li> </ul>
International Impact of Scholarship (Realized, not potential)	<ul style="list-style-type: none"> <li>Concrete examples of how the published work has influenced the field, including adopting methods, peer citation, or implementing findings in practice.</li> <li>Testimonials, reviews, or third-party evaluations highlighting the significance and impact of the scholarship.</li> </ul>

SCHOLARSHIP: EXTERNAL GRANTS	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Sustained record of external funding (required)	<ul style="list-style-type: none"> <li>Documentation of nationally competitive and current peer-reviewed extramural funding to support the research program, showing a continuous level of funding since promotion to Associate Professor that is active at the time of promotion (required).</li> <li>May include sustained support as a PI or core-leader from multiple industry/private sector sponsors.</li> </ul>
Leadership and independence in external grants	<ul style="list-style-type: none"> <li>Evidence of serving as PI or multiple-PD/PI on significant grants that sustain their research program, supported by one of the following: a competitive renewal of the award, a second nationally competitive grant of equivalent scale, or simultaneous funding on two R01-level or equivalent grants, including significant industry or private sector funding of equivalent scale and impact.</li> <li>Leadership roles in large team-based research projects with documented impact, including primary leadership positions like Core Director.</li> <li>In some circumstances (e.g. specific techniques), a faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple NIH R01-scope awards will satisfy the requirement for extramural funding.</li> </ul>
Competitive renewals and diversity of funding sources	<ul style="list-style-type: none"> <li>Evidence of competitive renewals or simultaneous funding on multiple significant awards, demonstrating the sustainability and recognition of the research program.</li> <li>Records of funding from various sources, including federal agencies, prominent national charitable foundations, or industry/private sector sponsors, reflect the research program's breadth and recognition.</li> </ul>
National leadership and/or international recognition through funded research	<ul style="list-style-type: none"> <li>Examples of how the funded research has contributed to establishing a national leadership and/or international reputation, including significant findings, innovations, or contributions to policy.</li> <li>Recognition from funding bodies, professional societies, or within the scholarly community that highlights the candidate's eminence and leadership in the field.</li> <li>Evidence of the candidate's role and contributions to team science efforts for externally funded grants and leadership in multi-institutional collaborations</li> </ul>

SCHOLARSHIP: ENTREPRENEURSHIP	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Evidence of entrepreneurial activities	<ul style="list-style-type: none"> <li>Patents, licenses, and invention disclosures with details on relevance and impact.</li> <li>Formation of startup companies and involvement in technology commercialization.</li> </ul>
Contribution to scholarship through entrepreneurship	<ul style="list-style-type: none"> <li>Documentation of invention disclosures, copyrights, and patents equates to scholarly outputs like meeting abstracts or peer-reviewed manuscripts.</li> <li>Revenue-generating licensing activities are considered equivalent to extramural grant awards.</li> </ul>
Impact of entrepreneurship on the field	<ul style="list-style-type: none"> <li>Metrics include citations for related publications, downloads, and developed software or tools.</li> <li>Engaging in reciprocal partnership with the community, involving mutually beneficial exchanges of knowledge and the creation, delivery and assessment of timely, unbiased, educational materials and programs that address relevant, critical and emerging issues.</li> </ul>

<b>SCHOLARSHIP: ENTREPRENEURSHIP</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
	<ul style="list-style-type: none"> <li>Diffusion, utilization, and uptake of products, programs, and technologies by communities and populations.</li> </ul>

<b>SERVICE</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Effective service at the division and school levels	<ul style="list-style-type: none"> <li>Service on 1-2 division committees</li> <li>Service on School committee(s)</li> <li>Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> </ul>
Service to the academic and broader community at advanced levels	<ul style="list-style-type: none"> <li>Leadership roles in committees or working groups within the School, College of Medicine, OSU, and beyond, indicating significant contributions to the academic community.</li> <li>Documentation of innovative programs or initiatives led by the faculty member that have advanced the university's mission or positively impacted the community.</li> </ul>
National or international professional service and leadership	<ul style="list-style-type: none"> <li>Evidence of election or appointment to leadership positions in national or international societies, reflecting recognition and influence in the field.</li> <li>Roles as chair of national committees, task forces, or review panels, showcasing leadership and contributions to the profession nationally or internationally.</li> </ul>
Contribution to the advancement of professional standards and practices	<ul style="list-style-type: none"> <li>Involvement in developing guidelines, standards, or policies that have influenced professional practices or education within the field.</li> <li>Participation in specialty boards, accreditation bodies, or as a site reviewer for programs at peer institutions.</li> </ul>
Provision of professional expertise to public and private entities	<ul style="list-style-type: none"> <li>Consultative roles and professional services provided to industry, government, education, and non-profit organizations, demonstrating the application of expertise to address broader societal challenges.</li> <li>Documentation of the impact of these consultative activities, including policy changes, program development, or enhancements in professional practices.</li> </ul>
Leadership in service activities that improve cultural competence and accessibility	<ul style="list-style-type: none"> <li>Initiatives led by the faculty member to improve cultural competence and address societal challenges within the School, College, University, or broader community.</li> <li>Evidence of these initiatives' successful implementation and impact, such as increased culture competence and accessibility in educational or professional settings.</li> </ul>
Recognition for service contributions at the national or international levels	<ul style="list-style-type: none"> <li>Awards, honors, or other recognition for service contributions indicate esteem and appreciation from professional societies, communities, or institutions.</li> <li>Testimonials or third-party evaluations highlighting the significance and impact of the faculty member's service activities on the national or international stage.</li> </ul>

## 2. Promotion of Clinical Faculty

Clinical faculty members are not eligible for tenure. The criteria in the categories of teaching and service are, for the most part, similar to those for the Tenure Track for each faculty rank, although there is a greater emphasis on teaching and service for clinical faculty and less emphasis on traditional scholarship.

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

promotion to the next faculty rank.

**The awarding of promotion to the rank of associate clinical professor must be based upon convincing evidence that the candidate has developed a national level of impact and recognition since being appointed to the rank of assistant professor (required).** Clinical faculty members typically pursue careers as clinician educators, clinician scholars, or leaders in their profession (clinical excellence). Promotion along each pathway is described below. The selection of the pathway for promotion must be documented in annual reviews. Switching between pathways is permitted when documented in annual reviews at least one year before self-nomination for promotion.

#### ***Associate Clinical Professor, Clinician Educator Pathway***

The awarding of promotion to the rank of associate clinical professor on the clinician- educator pathway must be based upon convincing evidence that the candidate has developed a national level of impact and recognition as an educator since being appointed to the rank of assistant professor (required). Evidence of national recognition and impact should be related to education their field but can also be related to scholarship or professional service. Excellence is not required in all domains. The clinician-educator pathway may reflect effectiveness as an educator of trainees at any level. Evidence of excellence and impact should be further supported by any, but not all, of the following indicators. Candidates will vary in terms of which indicators from the tables below are used to describe educational excellence, and this is not inclusive of every indicator of excellence. HRS values the breadth of approaches to demonstrating excellence in teaching and learning and understands candidates will provide highly individualized indicators and descriptions of their impact. All of the criteria presented in the tables below can be used to demonstrate excellence, national recognition, and impact in teaching and mentoring, scholarship, and service.

#### **Promotion to Associate Clinical Professor, Clinician Educator Pathway**

<b>TEACHING AND MENTORING</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Strong and consistent record of effective teaching and mentoring	<ul style="list-style-type: none"><li>Summary of consistently positive teaching evaluations by students, trainees, and peers.</li><li>Documented outcomes of mentoring relationships, including the achievements and advancements of mentees.</li></ul>
Leadership in course direction or development	<ul style="list-style-type: none"><li>Evidence of serving as a course director or developing new courses, including course materials, curriculum design, and student feedback.</li></ul>
Innovation in teaching methodologies and modalities	<ul style="list-style-type: none"><li>Documentation of innovative teaching practices such as curriculum/web-based design and implementation, teaching modules, and digital media.</li><li>Examples of innovative teaching practices and their adoption or recognition within the field.</li></ul>
National impact and recognition as an educator (required)	<ul style="list-style-type: none"><li>Invitations to serve as faculty in national educational activities or leadership roles in education-related societies.</li><li>Contributing questions to national board/registry examinations in the faculty member's field.</li><li>Recognition or awards received for educational contributions on a national level.</li><li>Adoption of courses and/or educational programs as national exemplars or by other institutions and/or accrediting bodies.</li></ul>
Improvement of educational processes or outcomes	<ul style="list-style-type: none"><li>Evidence of the impact of teaching and mentoring activities, such as enhancements in educational processes, learning outcomes, or curricular innovations.</li><li>Documentation of teaching awards or honors that reflect excellence in education and mentoring.</li></ul>

Contribution to cultural competence and accessibility in education	<ul style="list-style-type: none"> <li>Initiatives or programs led by faculty members to improve cultural competence or access to education for underserved populations.</li> <li>Documentation of the impact of these efforts on the educational environment or enhanced cultural understanding among students and faculty.</li> </ul>
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<b>SERVICE</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Administrative and professional service	<ul style="list-style-type: none"> <li>Service on 1-2 division committees</li> <li>Service on School committee(s)</li> <li>Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> <li>Participation in College and/or University committees, work groups/task forces, or councils is not a requirement, but is considered a high impact activity.</li> <li>Contributions to peer reviews and editorial boards and development of innovative programs that advance the university's mission.</li> </ul>
Service to the Profession/Community	<ul style="list-style-type: none"> <li>Membership on editorial boards or editorships</li> <li>Service as a grant reviewer for national funding agencies</li> <li>Elected or appointed offices held and other service to local and national professional societies, especially those related to the candidate's area of pedagogy or scholarship</li> <li>Service on panels and commissions.</li> <li>Involvement in accreditation and credentialing activities</li> <li>Creation or implementation of clinical guidelines</li> </ul>
Contribution to public and private entities	<ul style="list-style-type: none"> <li>Provision of professional expertise through consultative roles or services to industry, government, education, and non-profit organizations</li> <li>Impact of these contributions on policy, practice, or public health.</li> </ul>
Development of innovative programs	<ul style="list-style-type: none"> <li>Leadership in creating and sustaining programs delivering healthcare to the community or addressing societal challenges.</li> <li>Document the program's objectives, activities, and outcomes, demonstrating its impact on the community or targeted populations.</li> </ul>

<b>SCHOLARSHIP</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Contributions to scholarship with a focus on education	<ul style="list-style-type: none"> <li>Peer-reviewed journal publications, book chapters, or review papers focused on innovative teaching techniques and education theory.</li> <li>Developing and disseminating web-based or video-teaching modules are considered published works.</li> </ul>
Impact of scholarship on health education or professional practice	<ul style="list-style-type: none"> <li>Document the significance and impact of scholarly works, including citations, adoption of methods, or implementation in educational or clinical settings.</li> <li>Evidence of contributions with advanced pedagogical practices or clinical standards.</li> </ul>
National level of impact and recognition in scholarship	<ul style="list-style-type: none"> <li>Invitations to present at national conferences, workshops, or symposia based on scholarly contributions.</li> <li>Recognition or awards from professional societies or institutions for contributions to the field.</li> </ul>
Peer-reviewed publications and other scholarly outputs	<ul style="list-style-type: none"> <li>A range of 5-10 scholarly written or digital publications since the appointment as an assistant professor, demonstrating a consistent and impactful scholarly output. This is a suggested range and flexibility will be used in determining if a candidate's publications, scope, and impact meet the criteria of a sustained record of publications.</li> <li>In cases of fewer outputs, evidence of high-impact publications in respected journals.</li> </ul>

Merit in collaborative and team-based scholarship	<ul style="list-style-type: none"> <li>Contributions to team science or collaborative projects where the faculty member's expertise was essential.</li> <li>Recognition of the faculty member's role in collaborative scholarship, not necessarily limited to first or senior authorship, but where their contribution was critical to the project's success.</li> </ul>
Development of educational content and methods	<ul style="list-style-type: none"> <li>Creation of innovative educational content, such as new curricula, teaching methods, or evaluation tools, that peers have adopted or recognized.</li> <li>Impact of these developments on improving educational processes, outcomes, or accessibility.</li> </ul>

### ***Professor, Clinician Educator Pathway***

**The awarding of promotion to the rank of clinical professor on the clinician-educator pathway must be based upon convincing evidence that the candidate has developed a national level of leadership or international recognition since appointment or promotion to the rank of associate clinical professor (required).** Evidence of international recognition or national leadership should be related to the primary focus of the pathway (didactic education). However, it can also be related to clinical, scholarship activities, or professional service. Excellence is not required in all domains. All of the criteria presented in the tables below can be used to demonstrate excellence, national leadership, international recognition, and impact in teaching and mentoring, scholarship, and service.

### **Promotion to Clinical Professor, Clinician Educator Pathway**

<b>TEACHING and MENTORING</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Sustained teaching and mentoring excellence	<ul style="list-style-type: none"> <li>Multiple teaching awards and recognitions showcasing sustained excellence.</li> <li>Long-term positive evaluations from students, residents, fellows, and peers.</li> </ul>
Impact on teaching and training programs	<ul style="list-style-type: none"> <li>Evidence in developing impactful, innovative programs integrating teaching, research, and patient care.</li> <li>Contributions to curriculum/web-based innovation, new teaching modalities, and methods of evaluating teaching effectiveness.</li> </ul>
National leadership or international recognition in education (required)	<ul style="list-style-type: none"> <li>Leadership roles in national education committees, professional societies, professional accreditation bodies, or the Association of Schools of Allied Health Professions.</li> <li>Organization of national courses and curricula and participation in specialty boards.</li> </ul>
Mentorship of junior faculty (required)	<ul style="list-style-type: none"> <li>Documented evidence of mentoring activities and the resultant impact on junior faculty members' careers.</li> <li>Examples of career development activities led for other faculty members.</li> </ul>

<b>SERVICE</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Sustained service to the School	<ul style="list-style-type: none"> <li>Service on 1-2 division committees</li> <li>Service on School committee(s)</li> <li>Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> </ul>

Service to the institution, profession, and community	<ul style="list-style-type: none"> <li>Leadership roles on university committees or in program development that contribute to clinical, administrative, or educational missions.</li> <li>Development of innovative programs that advance the university's mission, such as community healthcare initiatives.</li> </ul>
National or international professional service	<ul style="list-style-type: none"> <li>Leadership positions in professional societies.</li> <li>Contributions to peer reviews, editorial boards, and development of professional standards.</li> </ul>
Provision of professional expertise	<ul style="list-style-type: none"> <li>Consultative roles to public and private entities beyond the University, impacting policy or practice.</li> <li>Invitations to serve as external evaluators for promotion candidates from peer institutions, reflecting national reputation.</li> </ul>

SCHOLARSHIP	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Contributions to education-focused scholarship	<ul style="list-style-type: none"> <li>Range of 5-10 scholarly written or digital publications since the last promotion, focusing on innovative teaching techniques, education theory, or clinical community-based educational efforts. This is a suggested range and flexibility will be used in determining if a candidate's publications, scope, and impact meet the criteria of a sustained record of publications.</li> <li>Development of web-based or video-teaching modules acknowledged as published works.</li> </ul>
National or international recognition in scholarship	<ul style="list-style-type: none"> <li>Invitations to present at national conferences, workshops, or symposia based on scholarly contributions.</li> <li>Recognition or awards from professional societies or institutions for contributions to the field.</li> <li>Highly impactful publications in respected journals or widely adopted educational resources.</li> </ul>
Integration of clinical expertise into scholarly work	<ul style="list-style-type: none"> <li>Publications based on areas of clinical expertise that inform teaching and contribute to the field.</li> <li>Scholarly work, such as review papers, book chapters, and original studies demonstrating an integration of professional practice and pedagogy.</li> </ul>
Collaborative and team-based scholarship	<ul style="list-style-type: none"> <li>Contributions to team science or collaborative educational projects where the faculty member's expertise significantly influenced the outcome.</li> <li>Works where the faculty member's role was essential, even if not in first or senior author positions, are valued for their merit.</li> </ul>
Scholarly engagement with community, industry, or non-traditional partners	<ul style="list-style-type: none"> <li>Collaboration with community, industry, or other external entities in the development of educational content, platforms, or clinical research programs.</li> <li>Evidence of scholarly outputs (e.g., patents, funded training programs, team-based deliverables) resulting from such partnerships.</li> </ul>

#### *Associate Clinical Professor, Clinician Scholar Pathway*

**The awarding of promotion to the rank of associate clinical professor on the clinician-scholar pathway must be based upon convincing evidence that the candidate has developed a national level of impact and recognition as a clinical scholar since being appointed to the rank of assistant clinical professor (required). Evidence of national recognition and impact should be related to the primary focus of this pathway (scholarship).** This recognition can also be related to professional practice, educational, or professional service but is not required in these other domains. Evidence of excellence and impact should be further supported by any, but not all, of the following indicators. Candidates will vary in terms of which indicators from the tables below are used to describe scholarship excellence, and this is not inclusive of every indicator of excellence. HRS values the breadth of approaches to demonstrating excellence in scholarship and understands candidates will provide highly individualized indicators and descriptions of their impact. All of the criteria presented in the tables below

can be used to demonstrate excellence, national recognition, and impact in teaching and mentoring, scholarship, and service.

**Intramural and extramural funding as PI or co-I is not required for clinical faculty on the clinician scholar pathway.**

### **Promotion to Associate Clinical Professor, Clinician Scholar Pathway**

<b>TEACHING AND MENTORING</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Effective teaching and mentoring	<ul style="list-style-type: none"> <li>Consistently positive evaluations from students, residents, fellows, local colleagues, and national peers.</li> <li>Contributions to curriculum development and co-teaching within the department.</li> </ul>
Broad educational contributions	<ul style="list-style-type: none"> <li>Evaluations from various educational contributions, including classroom presentations, scientific conference tutorials, and medical center presentations.</li> <li>Documentation of peer evaluations regularly.</li> </ul>
Recognition of teaching efforts	<ul style="list-style-type: none"> <li>Teaching awards and honors (if any), supporting a strong teaching record.</li> <li>Invitations to present educational content at other academic institutions or scientific meetings.</li> </ul>

<b>SCHOLARSHIP</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
National reputation and impact of scholarship <b>(required)</b>	<ul style="list-style-type: none"> <li>A range of 6-8 peer-reviewed publications since appointment as an assistant clinical professor, demonstrating national impact and recognition. This is a suggested range and flexibility will be used in determining if a candidate's publications, scope, and impact meet the criteria of a sustained record of publications.</li> <li>Evidence of interdisciplinary research contributions and leadership in collaborative, multidisciplinary research projects.</li> </ul>
An essential role in published research	<ul style="list-style-type: none"> <li>Documentation of an essential role in peer-reviewed manuscripts, study protocols, scholarly review articles, and case reports.</li> <li>Recognition of first, senior, and other significant authorship positions that indicate leadership and major research contributions.</li> </ul>
Scholarship participation	<ul style="list-style-type: none"> <li>Record of participation as key personnel (Co-I or key scientific role) on externally or internally funded grants, programs, contracts, and projects.</li> <li>Record of participation in unfunded research studies or scholarship of teaching and learning projects.</li> <li>Evidence of high-quality contributions to grant proposals, including positive feedback from study section reviewers and supporting letters from collaborators.</li> <li>Mentorship of student research projects.</li> </ul>
Entrepreneurship and inventorship	<ul style="list-style-type: none"> <li>Demonstrations of entrepreneurship or inventorship as evidence of scholarly activity, including patents, licenses, or involvement in startup companies.</li> </ul>

<b>SERVICE</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Administrative and professional service	<ul style="list-style-type: none"> <li>Service on 1-2 division committees</li> <li>Service on School committee(s)</li> <li>Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> <li>Participation in College and/or University committees, work groups/task forces, or councils is not a requirement, but is considered a high impact activity.</li> </ul>

	<ul style="list-style-type: none"> <li>Development of innovative programs that advance the university's mission.</li> </ul>
Service to the Profession/Community	<ul style="list-style-type: none"> <li>Contributions to peer reviews, editorial boards or editorships</li> <li>Service as a grant reviewer for national funding agencies</li> <li>Elected or appointed offices held and other service to local and national professional societies, especially those related to the candidate's area of pedagogy or scholarship.</li> <li>Service on panels and commissions.</li> <li>Involvement in accreditation and credentialing activities</li> <li>Creation or implementation of clinical guidelines</li> </ul>
Contribution to public and private entities	<ul style="list-style-type: none"> <li>Provision of professional expertise through consultative roles or services to industry, government, education, and non-profit organizations.</li> <li>Impact of these contributions on policy, practice, or public health.</li> </ul>
Development of innovative programs	<ul style="list-style-type: none"> <li>Leadership in creating and sustaining programs delivering healthcare to the community or addressing societal challenges.</li> <li>Document the program's objectives, activities, and outcomes, demonstrating its impact on the community or targeted populations.</li> </ul>

### *Clinical Professor, Clinician Scholar Pathway*

**The awarding of promotion to the rank of clinical professor on the clinician scholar pathway must be based upon convincing evidence that the candidate has developed national leadership or international recognition as a clinician scholar since being appointed to the rank of associate clinical professor (required). Evidence of national leadership or international recognition and impact should be related to the primary focus of this pathway (scholarship).** It can also be related to clinical, educational, or professional service but is not required in all domains. All of the criteria presented in the tables below can be used to demonstrate excellence, national leadership, international recognition, and impact in teaching and mentoring, scholarship, and service.

### **Promotion to Clinical Professor, Clinician Scholar Pathway**

<b>TEACHING AND MENTORING</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Consistent and sustained effective teaching/ mentoring	<ul style="list-style-type: none"> <li>Positive evaluations from a broad audience, including students, residents, fellows, local colleagues, and national peers, reflect sustained teaching excellence.</li> <li>Documentation of peer evaluations regularly.</li> </ul>
Curriculum development and co-teaching	<ul style="list-style-type: none"> <li>Evidence of significant contributions to curriculum development and active involvement in co-teaching within the department.</li> </ul>
Engagement in programs enhancing cultural competence and teaching access	<ul style="list-style-type: none"> <li>Development or leadership in programs to improve cultural competence or increase access to teaching for underserved populations, with documented outcomes and impact.</li> </ul>
Mentorship of junior faculty and trainees (required)	<ul style="list-style-type: none"> <li>Documented mentorship relationships with junior faculty and trainees.</li> <li>Demonstrated impact on mentees' careers and professional development.</li> </ul>

SCHOLARSHIP	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Sustained and expanded impact of scholarship	<ul style="list-style-type: none"> <li>Range of 8-12 peer-reviewed publications since promotion to Associate Clinical Professor, demonstrating a broad and significant impact in the field. This is a suggested range and flexibility will be used in determining if a candidate's publications, scope, and impact meet the criteria of a sustained record of publications.</li> <li>First, senior, and other significant authorship positions that reflect substantial contributions and leadership in research.</li> </ul>
National leadership and/or international recognition in clinical Scholarship (required)	<ul style="list-style-type: none"> <li>Evidence of national leadership or international recognition, such as invitations to serve on study sections, keynote addresses at national meetings, and leadership roles in scientific societies.</li> </ul>
Contributions to interdisciplinary research and team science	<ul style="list-style-type: none"> <li>Demonstrated leadership in collaborative health science, particularly in interdisciplinary efforts within basic, clinical, or translational science.</li> <li>Clear articulation of independent research contributions and the impact of those contributions, supported by collaborative publications where the candidate's role was essential.</li> </ul>
Sustained scholarship participation	<ul style="list-style-type: none"> <li>Sustained record of participation (as PI, MPI, Co-I, or in a key scientific leadership role) on externally or internally funded grants, programs, contracts, and projects.</li> <li>Record of participation in unfunded research studies or scholarship of teaching and learning projects.</li> <li>Evidence of high-quality contributions to grant proposals, including positive feedback from study section reviewers and supporting letters from collaborators.</li> <li>Mentorship of student research projects.</li> </ul>
Entrepreneurship and inventorship as scholarly activity	<ul style="list-style-type: none"> <li>Demonstrations of entrepreneurship or inventorship, including patents, licenses, startup company involvement, or other scholarly activity outside traditional publications.</li> </ul>

SERVICE	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Sustained service to the School	<ul style="list-style-type: none"> <li>Service on 1-2 division committees</li> <li>Service on School committee(s)</li> <li>Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> </ul>
Service to the University and in a national context	<ul style="list-style-type: none"> <li>Increased levels of responsibility and leadership within the University, such as committee chairs or program development leaders.</li> <li>Leadership or elected office in national or international organizations, reflecting significant professional contributions.</li> </ul>
Development of innovative programs with national recognition	<ul style="list-style-type: none"> <li>Leadership in creating and implementing innovative programs that received national recognition.</li> <li>Documents of the essential role in these programs that advance the university's mission or address societal challenges.</li> </ul>
Contribution to professional service and community engagement	<ul style="list-style-type: none"> <li>Active involvement in peer reviews, editorial boards, and professional societies, contributing to the advancement of the field.</li> <li>Development and leadership in programs delivering healthcare to the community or addressing societal challenges, with documented impact and outcomes.</li> </ul>

#### *Associate Clinical Professor, Clinical Excellence Pathway*

**The awarding of promotion to the rank of associate clinical professor on the clinical excellence pathway**

**must be based upon convincing evidence that the candidate has developed a national level of impact and recognition as a leader in service to the profession since being appointed to the rank of assistant clinical professor (required). Evidence of regional or national recognition and impact should be related to the primary focus of this pathway (service).** This recognition can also be related to education or scholarship but is not required in all domains. Evidence of excellence and impact should be further supported by any, but not all, of the following indicators. Candidates will vary in terms of which indicators from the tables below are used to describe excellence in professional leadership, and this is not inclusive of every indicator of excellence. HRS values the breadth of approaches to demonstrating excellence in professional service and understands candidates will provide highly individualized indicators and descriptions of their impact. All of the criteria presented in the tables below can be used to demonstrate excellence, national recognition, and impact in teaching and mentoring, scholarship, and service.

### Promotion to Associate Clinical Professor, Clinical Excellence Pathway

TEACHING AND MENTORING	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Effective teaching and mentoring	<ul style="list-style-type: none"> <li>Consistently positive evaluations from students, residents, fellows, local colleagues, and national peers.</li> <li>Contributions to curriculum development and co-teaching within the department.</li> </ul>
Broad educational contributions	<ul style="list-style-type: none"> <li>Evaluations from various educational contributions, including classroom presentations, scientific conference tutorials, and medical center presentations.</li> <li>Documentation of peer evaluations regularly.</li> </ul>
Recognition of teaching efforts	<ul style="list-style-type: none"> <li>Teaching awards and honors (if any), supporting a strong teaching record.</li> <li>Invitations to present educational content at other academic institutions or scientific meetings.</li> </ul>

SCHOLARSHIP	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Contributions to scholarship with a focus on education	<ul style="list-style-type: none"> <li>Peer-reviewed journal publications, book chapters, or review papers focused on innovative teaching techniques and education theory.</li> <li>Developing and disseminating web-based or video-teaching modules are considered published works.</li> </ul>
Impact of scholarship on health education or professional practice	<ul style="list-style-type: none"> <li>Document the significance and impact of scholarly works, including citations, adoption of methods, or implementation in educational or clinical settings.</li> <li>Evidence of contributions with advanced pedagogical practices or clinical standards.</li> </ul>
National level of impact and recognition in scholarship	<ul style="list-style-type: none"> <li>Invitations to present at national conferences, workshops, or symposia based on scholarly contributions.</li> <li>Recognition or awards from professional societies or institutions for contributions to the field.</li> </ul>
Peer-reviewed publications and other scholarly outputs	<ul style="list-style-type: none"> <li>A range of 5-10 scholarly written or digital publications since the appointment as an assistant professor, demonstrating a consistent and impactful scholarly output.</li> <li>In cases of fewer outputs, evidence of high-impact publications in respected journals.</li> </ul>
Merit in collaborative and team-based scholarship	<ul style="list-style-type: none"> <li>Contributions to team science or collaborative projects where the faculty member's expertise was essential.</li> <li>Recognition of the faculty member's role in collaborative scholarship, not necessarily limited to first or senior authorship, but where their contribution was critical to the project's success.</li> </ul>
Development of educational content and methods	<ul style="list-style-type: none"> <li>Creation of innovative educational content, such as new curricula, teaching methods, or evaluation tools, that peers have adopted or recognized.</li> <li>Impact of these developments on improving educational processes, outcomes, or accessibility.</li> </ul>

<b>SERVICE</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Administrative and professional service	<ul style="list-style-type: none"> <li>• Service on 1-2 division committees</li> <li>• Service on School committee(s)</li> <li>• Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>• Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> <li>• Participation in College and/or University committees, work groups/task forces, or councils is not a requirement, but is considered a high impact activity.</li> <li>• Development of innovative programs that advance the university's mission.</li> </ul>
Leadership in the Profession/Community	<ul style="list-style-type: none"> <li>• <b>Leadership (required)</b> of professional societies at the regional or national level in the candidate's area of pedagogy or clinical expertise, with documented evidence of transformative impacts of activities performed. Whether leadership occurs at the regional or national level, recognition and impact should be demonstrated at the national level.</li> <li>• Development or leadership roles in accreditation and credentialing activities</li> <li>• Contributions to peer reviews, editorial boards or editorships</li> <li>• Service as a grant reviewer for national funding agencies</li> <li>• Service on panels and commissions.</li> <li>• Creation or implementation of clinical guidelines</li> </ul>
Contribution to public and private entities	<ul style="list-style-type: none"> <li>• Provision of professional expertise through consultative roles or services to industry, government, education, and non-profit organizations.</li> <li>• Impact of these contributions on policy, practice, or public health.</li> </ul>
Development of innovative programs	<ul style="list-style-type: none"> <li>• Leadership in creating and sustaining programs delivering healthcare to the community or addressing societal challenges.</li> <li>• Document the program's objectives, activities, and outcomes, demonstrating its impact on the community or targeted populations.</li> </ul>

#### ***Clinical Professor, Clinical Excellence Pathway***

The awarding of promotion to the rank of clinical professor on the clinical excellence pathway must be based upon convincing evidence that the candidate has developed an international level of impact and recognition as a leader in service to their profession since promotion to associate clinical professor (required). Evidence of national or international recognition and impact should be related to the primary focus of this pathway (service). It can also be related to education or service but is not required in all domains. Evidence of excellence and impact should be further supported by any, but not all, of the following indicators. All of the criteria presented in the tables below can be used to demonstrate excellence, national leadership, international recognition, and impact in teaching and mentoring, scholarship, and service.

#### **Promotion to Clinical Professor, Clinical Excellence Pathway**

<b>TEACHING AND MENTORING</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Consistent and sustained effective teaching/ mentoring	<ul style="list-style-type: none"> <li>• Positive evaluations from a broad audience, including students, residents, fellows, local colleagues, and national peers, reflect sustained teaching excellence.</li> <li>• Documentation of peer evaluations regularly.</li> </ul>

Curriculum development and co-teaching	<ul style="list-style-type: none"> <li>Evidence of significant contributions to curriculum development and active involvement in co-teaching within the department.</li> </ul>
Engagement in programs enhancing cultural competence and teaching access	<ul style="list-style-type: none"> <li>Development or leadership in programs to improve cultural competence or increase access to teaching for underserved populations, with documented outcomes and impact.</li> </ul>
Mentorship of junior faculty and trainees (required)	<ul style="list-style-type: none"> <li>Documented mentorship relationships with junior faculty and trainees.</li> <li>Demonstrated impact on mentees' careers and professional development.</li> </ul>

<b>SCHOLARSHIP</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Contributions to education-focused scholarship	<ul style="list-style-type: none"> <li>Range of 5-10 scholarly written or digital publications since the last promotion, focusing on innovative teaching techniques, education theory, or clinical community-based educational efforts. This is a suggested range and flexibility will be used in determining if a candidate's publications, scope, and impact meet the criteria of a sustained record of publications.</li> <li>Development of web-based or video-teaching modules acknowledged as published works.</li> </ul>
National or international recognition in scholarship	<ul style="list-style-type: none"> <li>Invitations to present at national conferences, workshops, or symposia based on scholarly contributions.</li> <li>Recognition or awards from professional societies or institutions for contributions to the field.</li> <li>Highly impactful publications in respected journals or widely adopted educational resources.</li> </ul>
Integration of clinical expertise into scholarly work	<ul style="list-style-type: none"> <li>Publications based on areas of clinical expertise that inform teaching and contribute to the field.</li> <li>Scholarly work, such as review papers, book chapters, and original studies demonstrating an integration of professional practice and pedagogy.</li> </ul>
Collaborative and team-based scholarship	<ul style="list-style-type: none"> <li>Contributions to team science or collaborative educational projects where the faculty member's expertise significantly influenced the outcome.</li> <li>Works where the faculty member's role was essential, even if not in first or senior author positions, are valued for their merit.</li> </ul>
Scholarly engagement with community, industry, or non-traditional partners	<ul style="list-style-type: none"> <li>Collaboration with community, industry, or other external entities in the development of educational content, platforms, or clinical research programs.</li> <li>Evidence of scholarly outputs (e.g., patents, funded training programs, team-based deliverables) resulting from such partnerships.</li> </ul>

<b>SERVICE</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Sustained service to the School	<ul style="list-style-type: none"> <li>Leadership on division and School committee(s)</li> <li>Leadership in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> </ul>
Service to the University	<ul style="list-style-type: none"> <li>Increased levels of responsibility and leadership within the University, such as committee chairs or program development leaders.</li> <li>Development of innovative programs that advance the university's mission.</li> </ul>

International impact and recognition as a leader in service <b>(required)</b>	<ul style="list-style-type: none"> <li>• <b>Leadership</b> of professional societies at the national or international level in the candidate's area of pedagogy or clinical expertise, with documented evidence of transformative impacts of activities performed for the profession and description of the impact on the division or school's reputation in the profession</li> <li>• Leadership in creating and implementing innovative programs that received national or international recognition.</li> <li>• Documentation of the essential role in these programs that advance the university's mission or address societal challenges.</li> </ul>
Contribution to professional service and community engagement	<ul style="list-style-type: none"> <li>• Active involvement in peer reviews, editorial boards, and professional societies, contributing to the advancement of the field.</li> <li>• Development and leadership in programs delivering healthcare to the community or addressing societal challenges, with documented impact and outcomes.</li> </ul>

### **3. Promotion of Research Faculty**

#### *a. Promotion to Research Associate Professor*

For promotion to research associate professor, a faculty member must have a substantial record of high-quality focused research consistent with an appointment devoted to research. Publications must appear in high-quality peer-reviewed venues and be judged by external evaluators as having substantial positive impact on the field. **A record of continuous peer reviewed extramural and/or commercial funding is required.** It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive promotion decision. Similarly, records of scholarship below the specified range do not preclude a positive promotion decision. **Evidence of a growing national reputation is also required.** This may be reflected by (but not limited to) invitations to review manuscripts or grant applications, invitations to lecture at scientific societies or other universities, consultation with industry or governmental agencies, requests for collaboration from other universities, request to serve in central roles on multi-center studies, etc. National reputation/impact may also be demonstrated in part through non-traditional metrics (e.g. social media portfolios, Altmetrics scores) [See Defining Impact above]. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

In the Research faculty, the criteria for promotion focus principally on the category of research, and the standards are comparable to those used for the Tenure-track for each faculty rank, with the expectation for very high productivity in research. All of the criteria presented in the tables below can be used to demonstrate excellence, national recognition, and impact in scholarship, service, and mentoring.

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

The criteria for promotion of research faculty in the school are identical to those for tenure-track faculty, with two important exceptions. First, there is no expectation for accomplishments in didactic teaching for research faculty. The case will be made principally on accomplishments in research and scholarship. A research faculty member may, but is not required to, participate in limited educational activities in the area of their expertise. However, teaching opportunities for each research faculty member must be approved by a majority vote of the School's tenure-track faculty. Under no circumstances may a member of the research faculty be continuously engaged over an extended period in the same instructional activities as tenure-track faculty. However, in the course of their research activities, research faculty do mentor and advise learners (e.g., PhD students; post-doctoral scholars) and are invited to deliver continuing education talks, grand rounds, and guest lectures. Thus, excellence in teaching should be

focused on these activities, which are directly related to their scholarship and not inclusive of sustained efforts in teaching courses, curriculum design, and other instructional activities in which clinical and tenure track faculty are engaged.

The second difference is that a higher level of productivity and impact in research will be required of research faculty. Research faculty members have no didactic teaching expectation and will normally have research time in the 90 – 95% range, compared to 60-70% for a tenure-track faculty member in the school. Therefore, the research faculty member should be highly productive in research, more productive than the typical tenure-track faculty member as demonstrated by publications, presentations, patents and/or other products from their research.

It is expected in general that the successful candidate will have a sustained record of 90-95% salary recovery. Research faculty typically serve as Principal Investigators, Multiple Principal Investigators, and Co-Investigators, and independent extramural funding is required.

SCHOLARSHIP: PUBLICATIONS	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Sustained record of publications	<ul style="list-style-type: none"> <li>• List 15-20 relevant peer-reviewed publications since the assistant professor's appointment. This is a suggested range and flexibility will be used in determining if a candidate's publications, scope, and impact meet the criteria of a sustained record of publications.</li> <li>• Continuous scholarly output documentation reflecting quality and quantity.</li> </ul>
Quality and impact of publications	<ul style="list-style-type: none"> <li>• Evidence of the impact/quality of journals in which peer-reviewed work is published.</li> <li>• Metrics detailing total publications, citation counts, and publication trajectory.</li> <li>• Non-traditional impact metrics, including social media reach, altmetrics scores, and non-academic presentations.</li> <li>• Analysis of journal impact in the context of norms in the field.</li> <li>• <i>For some professions, conference proceedings and/or published technical reports are equivalent to peer-reviewed journal publications and should be counted as such when appropriately justified by the candidate and corroborated by external reviewers.</i></li> </ul>
Contributions	<ul style="list-style-type: none"> <li>• Documentation of substantial research contributions where the faculty member was pivotal.</li> <li>• Intellectual contribution details within the dossier for significant publications.</li> </ul>
Independence and originality in scholarship	<ul style="list-style-type: none"> <li>• Evidence of original research and contributions that clearly distinguish the faculty member's work from that of mentors or collaborators.</li> <li>• Publications where the faculty member is the primary investigator or author, demonstrating independent thought and research direction.</li> </ul>
National reputation for impact of scholarship on the field	<ul style="list-style-type: none"> <li>• Concrete examples of how the scholarship has influenced the field, including adopting methods, peer citation, or implementing findings in practice.</li> <li>• Testimonials or third-party evaluations attest to the significance and impact of the scholarship.</li> <li>• Invitations to present research at national or international conferences and invited service on grant review panels or editorial boards of high-impact journals are also indicators of national reputation.</li> </ul>
Contribution to the body of knowledge	<ul style="list-style-type: none"> <li>• A list of contributions that significantly advanced the field, including peer-reviewed publications, book chapters, edited volumes, or other scholarly outputs.</li> <li>• Documentation of how the broader academic community and industry have received and utilized these contributions, if applicable.</li> </ul>
Research Leadership and Contributions	<ul style="list-style-type: none"> <li>• Records showing first, senior, or corresponding authorship in key publications.</li> <li>• For independent research, evidence of substantial authorship in significant publications.</li> </ul>

Collaborative, multidisciplinary research	<ul style="list-style-type: none"> <li>Collaborative research documentation highlighting indispensable contributions.</li> <li>Documentation of the faculty's role in multi-authored works, especially for middle authorship.</li> </ul>
Strong field expertise through publications	<ul style="list-style-type: none"> <li>The number of peer-reviewed research articles or proceedings showcasing field expertise.</li> <li>Review articles and book chapters were included to indicate field expertise, with a cap of less than 30% of the total publication list.</li> </ul>

SCHOLARSHIP: EXTERNAL GRANTS	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Sustained or multiple external peer-reviewed grants (required)	<ul style="list-style-type: none"> <li>List of grants awarded with details such as funding agency, title, amount, and duration.</li> <li>Evidence of renewals or additional grants demonstrating sustainability and recognition in the field.</li> <li>Demonstrated ability to obtain and sustain their research program through extramural funding from federal, industry, foundation and/or other sources that provides salary support consistent with the letter of offer and is sustained over time. <b>NIH funding is not required for promotion.</b></li> </ul>
Leadership and independence in grants	<ul style="list-style-type: none"> <li>Documentation of roles as PI or MPI on significant grants that sustain their research program, or, in the case of team or highly collaborative science, as Co-Investigator with a demonstrated unique and indispensable contribution to the project(s).</li> <li>Evidence of leadership in multidisciplinary, externally supported studies.</li> </ul>
Leadership in team science grants	<ul style="list-style-type: none"> <li>Roles as a primary leader (e.g., Core Director) in large team-based research projects.</li> <li>Documents demonstrating leadership and independence within team science settings, including industry and community collaborations.</li> </ul>

SCHOLARSHIP: ENTREPRENEURSHIP	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Evidence of entrepreneurial activities	<ul style="list-style-type: none"> <li>Patents, licenses, and invention disclosures with details on relevance and impact.</li> <li>Formation of startup companies and involvement in technology commercialization.</li> </ul>
Contribution to scholarship through entrepreneurship	<ul style="list-style-type: none"> <li>Documentation of invention disclosures, copyrights, and patents equates to scholarly outputs like meeting abstracts or peer-reviewed manuscripts.</li> <li>Revenue-generating licensing activities are considered equivalent to extramural grant awards.</li> </ul>
Impact of entrepreneurship on the field	<ul style="list-style-type: none"> <li>Metrics include citations for related publications, downloads, and developed software or tools.</li> <li>Engaging in reciprocal partnership with the community, involving mutually beneficial exchanges of knowledge and the creation, delivery and assessment of timely, unbiased, educational materials and programs that address relevant, critical and emerging issues.</li> <li>Diffusion, utilization, and uptake of products, programs, and technologies by communities and populations.</li> </ul>

TEACHING and MENTORING	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Strong and consistent record of effective teaching and mentoring	<ul style="list-style-type: none"> <li>Serve assigned roles in supervising and mentoring students (e.g. advising, serving as a member of thesis, dissertation, capstone, or examination committees).</li> <li>Outcomes of successful learner mentorship, including student progress and accomplishments, scholarly productivity, and career trajectories</li> <li>Documentation of other mentoring activities and their outcomes.</li> <li>Informal mentorship and the formal/structured mentorship of faculty are also highly valued.</li> </ul>

SERVICE	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Effective service at the division and school levels	<ul style="list-style-type: none"> <li>Service on 1-2 division committees</li> <li>Service on School committee(s)</li> <li>Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> </ul>
Administrative service to the college and university	<ul style="list-style-type: none"> <li>Participation in College and/or University committees, work groups/task forces, or councils is not a requirement, but is considered a high impact activity.</li> <li>Contributions to peer reviews and editorial boards and development of innovative programs that advance the university's mission.</li> </ul>
Contribution to professional service within the faculty member's discipline	<ul style="list-style-type: none"> <li>Evidence of participation in ad hoc journal reviews, editorial boards, or editorships.</li> <li>Roles as grant reviewers for national funding agencies.</li> <li>Elected or appointed offices in professional societies, served on panels and commissions and contributed to local and national professional societies.</li> </ul>
Provision of professional expertise to public and private entities beyond the University	<ul style="list-style-type: none"> <li>Documentation of professional consultations to industry, government, education, and non-profit organizations.</li> <li>Contributions to panels, advisory boards, and commissions that impact the broader community or field.</li> </ul>
Development and leadership of innovative programs advancing the university's mission	<ul style="list-style-type: none"> <li>Descriptions of innovative programs created to deliver healthcare to the community or address societal challenges.</li> <li>Evidence of the sustainability and impact of these programs, including outcomes and recognitions.</li> </ul>

***b. Promotion to Research Professor***

**For promotion to research professor, a faculty member must (required) have a national or international reputation built on an extensive body of high-quality publications and sustained extramural research funding with demonstrated impact on the field beyond that which was established for promotion to research associate professor.** This may be reflected by (but not limited to) invitations to review manuscripts or grant applications, invitations to lecture at scientific societies or other universities, consultation with industry or governmental agencies, requests for collaboration from other universities, requests to serve in central roles on multi-center studies, etc. National reputation/impact may also be demonstrated in part through non-traditional metrics (e.g. social media portfolios, Altmetrics scores) [See Defining Impact above].

**Research faculty in the School are expected to establish an independent, sustainable, extramurally funded program of research, similar to tenure-track faculty. A record of continuous peer-reviewed extramural and/or commercial funding is required, along with demonstrated research productivity as a result of such funding.** Overall, the number of publications required for promotion should be sufficient to persuasively characterize the faculty member's influence in helping to discover new knowledge in their field. Thus, both quality and quantity are important considerations. It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive promotion decision. Similarly, records of scholarship below the specified range do not preclude a positive promotion decision. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms. All of the criteria presented in the tables below can be used to demonstrate excellence, international recognition, and impact in scholarship, service, and mentoring.

Research faculty being promoted should exhibit positive values and foster a safe and collaborative work environment.

It is expected that the successful candidate will have a sustained record of 90-95% salary recovery generally derived from extramural funds. Research faculty typically serve as Principal Investigator, Multiple Principal Investigator, or Co-Investigator, and independent extramural funding is required.

SCHOLARSHIP: PUBLICATIONS	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Sustained and enhanced quality and quantity of scholarly productivity	<ul style="list-style-type: none"> <li>• List of 20-25 peer-reviewed publications or proceedings since promotion to Associate Professor, demonstrating an advanced scholarly output.</li> <li>• Evidence of impactful work published in highly respected journals.</li> <li>• <i>For some professions, conference proceedings and/or published technical reports are equivalent to peer-reviewed journal publications and should be counted as such when appropriately justified by the candidate and corroborated by external reviewers.</i></li> </ul>
International reputation for significant scholarly contributions (required)	<ul style="list-style-type: none"> <li>• Documentation of citations, awards, and recognitions that reflect the national or international impact of the publications.</li> <li>• Invitations to present at prestigious conferences or institutions as a testament to the scholar's reputation in the field.</li> </ul>
Leadership and Independence in research and publications	<ul style="list-style-type: none"> <li>• Evidence showing the candidate as the first, senior, or corresponding author in high-impact publications and providing the number of these publications.</li> <li>• Documentation of the candidate's critical and essential role in advancing the research field through these publications.</li> </ul>
International impact of Scholarship (Realized, not potential)	<ul style="list-style-type: none"> <li>• Concrete examples of how the published work has influenced the field, including adopting methods, peer citation, or implementing findings in practice.</li> <li>• Testimonials, reviews, or third-party evaluations highlighting the significance and impact of the scholarship.</li> </ul>

SCHOLARSHIP: EXTERNAL GRANTS	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Sustained record of external funding (required)	<ul style="list-style-type: none"> <li>• Documentation of nationally competitive and current peer-reviewed extramural funding to support the research program, showing a continuous level of funding since promotion to Associate Professor that is active at the time of promotion.</li> <li>• May include sustained support as a PI or core-leader from multiple industry/private sector sponsors.</li> </ul>
Leadership and independence in external grants	<ul style="list-style-type: none"> <li>• Evidence of serving as PI or multiple-PD/PI on significant grants that sustain their research program, supported by one of the following: a competitive renewal of the award, a second nationally competitive grant of equivalent scale, or simultaneous funding on two R01-level or equivalent grants, including significant industry or private sector funding of equivalent scale and impact.</li> <li>• Leadership roles in large team-based research projects with documented impact, including primary leadership positions like Core Director.</li> <li>• In some circumstances (e.g. specific techniques), a faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple NIH R01-scope awards will satisfy the requirement for extramural funding.</li> </ul>
Competitive renewals and diversity of funding sources	<ul style="list-style-type: none"> <li>• Evidence of competitive renewals or simultaneous funding on multiple significant awards, demonstrating the sustainability and recognition of the research program.</li> <li>• Records of funding from various sources, including federal agencies, prominent national charitable foundations, or industry/private sector sponsors, reflect the research program's breadth and recognition.</li> </ul>

National or international recognition through funded research	<ul style="list-style-type: none"> <li>Examples of how the funded research has contributed to establishing a national or international reputation, including significant findings, innovations, or contributions to policy.</li> <li>Recognition from funding bodies, professional societies, or within the scholarly community that highlights the candidate's eminence and leadership in the field.</li> <li>Evidence of the candidate's role and contributions to team science efforts for externally funded grants and leadership in multi-institutional collaborations</li> </ul>
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<b>SCHOLARSHIP: ENTREPRENEURSHIP</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Evidence of entrepreneurial activities	<ul style="list-style-type: none"> <li>Patents, licenses, and invention disclosures with details on relevance and impact.</li> <li>Formation of startup companies and involvement in technology commercialization.</li> </ul>
Contribution to scholarship through entrepreneurship	<ul style="list-style-type: none"> <li>Documentation of invention disclosures, copyrights, and patents equates to scholarly outputs like meeting abstracts or peer-reviewed manuscripts.</li> <li>Revenue-generating licensing activities are considered equivalent to extramural grant awards.</li> </ul>
Impact of entrepreneurship on the field	<ul style="list-style-type: none"> <li>Metrics include citations for related publications, downloads, and developed software or tools.</li> <li>Engaging in reciprocal partnership with the community, involving mutually beneficial exchanges of knowledge and the creation, delivery and assessment of timely, unbiased, educational materials and programs that address relevant, critical and emerging issues.</li> <li>Diffusion, utilization, and uptake of products, programs, and technologies by communities and populations.</li> </ul>

<b>TEACHING and MENTORING</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Strong and consistent record of effective teaching and mentoring	<ul style="list-style-type: none"> <li>Serve assigned roles in supervising and mentoring students (e.g. advising, serving as a member of thesis, dissertation, capstone, or examination committees).</li> <li>Outcomes of successful learner mentorship, including student progress and accomplishments, scholarly productivity, and career trajectories</li> <li>Documentation of other mentoring activities and their outcomes.</li> <li>Informal mentorship and the formal/structured mentorship of faculty are also highly valued.</li> </ul>

<b>SERVICE</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Effective service at the division and school levels	<ul style="list-style-type: none"> <li>Service on 1-2 division committees</li> <li>Service on School committee(s)</li> <li>Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> </ul>
Service to the academic and broader community at advanced levels	<ul style="list-style-type: none"> <li>Leadership roles in committees or working groups within the School, College of Medicine, OSU, and beyond, indicating significant contributions to the academic community.</li> <li>Documentation of innovative programs or initiatives led by the faculty member that have advanced the university's mission or positively impacted the community.</li> </ul>
National or international professional service and leadership	<ul style="list-style-type: none"> <li>Evidence of election or appointment to leadership positions in national or international societies, reflecting recognition and influence in the field.</li> <li>Roles as chair of national committees, task forces, or review panels, showcasing leadership and contributions to the profession nationally or internationally.</li> </ul>

Contribution to the advancement of professional standards and practices	<ul style="list-style-type: none"> <li>Involvement in developing guidelines, standards, or policies that have influenced professional practices or education within the field.</li> <li>Participation in specialty boards, accreditation bodies, or as a site reviewer for programs at peer institutions.</li> </ul>
Provision of professional expertise to public and private entities	<ul style="list-style-type: none"> <li>Consultative roles and professional services provided to industry, government, education, and non-profit organizations, demonstrating the application of expertise to address broader societal challenges.</li> <li>Documentation of the impact of these consultative activities, including policy changes, program development, or enhancements in professional practices.</li> </ul>
Leadership in service activities that improve cultural competence and accessibility	<ul style="list-style-type: none"> <li>Initiatives led by the faculty member to improve cultural competence and address societal challenges within the School, College, University, or broader community.</li> <li>Evidence of these initiatives' successful implementation and impact, such as increased culture competence and accessibility in educational or professional settings.</li> </ul>
Recognition for service contributions at the national or international levels	<ul style="list-style-type: none"> <li>Awards, honors, or other recognition for service contributions indicate esteem and appreciation from professional societies, communities, or institutions.</li> <li>Testimonials or third-party evaluations highlighting the significance and impact of the faculty member's service activities on the national or international stage.</li> </ul>

#### **4. Promotion of Associated Faculty**

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

##### ***Promotion of Uncompensated Associated Faculty: Promotion to Adjunct Associate Professor and Adjunct Professor***

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

The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track, clinical, or research faculty, as appropriate to the appointment, above.

Procedures for promotion of uncompensated associated faculty:

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

### **Promotion to Associate Professor and Professor with FTE below 50%**

The relevant criteria for the promotion of associated faculty members with tenure-track titles are those for the promotion of tenure-track faculty above.

### ***Promotion of Compensated Associated Faculty: Promotion to Clinical Assistant Professor of Practice***

Associated faculty who have held the title of clinical instructor of practice may apply for promotion to become a Clinical Assistant Professor of Practice if they have completed a doctorate (e.g., PhD, EdD, OTD, DPT, DNP), meet the criteria for appointment as a Clinical Assistant Professor of Practice, and have demonstrated excellence during previous contract period(s) in fulfilling the duties assigned by that contract.

### **Promotion to Clinical Associate Professor of Practice**

**Promotion to Clinical Associate Professor of Practice must be based upon clear and convincing evidence that the candidate has established a state or national level of impact and reputation since being appointed to the rank of Clinical Assistant Professor of Practice, with an emphasis on teaching excellence (required).** The criteria for promotion in service mirror those of Clinical Associate Professor. In general, scholarly activity is limited to the scholarship of teaching and learning or participating as key personnel on research projects. All of the criteria presented in the tables below can be used to demonstrate excellence, recognition, and impact in teaching and mentoring, scholarship and service.

#### **Promotion to Clinical Associate Professor of Practice**

<b>TEACHING AND MENTORING</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Strong and consistent record of effective teaching and mentoring	<ul style="list-style-type: none"><li>Summary of consistently positive teaching evaluations by students, trainees, and peers.</li><li>Documented outcomes of mentoring relationships, including the achievements and advancements of mentees.</li></ul>
Leadership in course direction or development	<ul style="list-style-type: none"><li>Evidence of serving as a course director or developing new courses, including course materials, curriculum design, and student feedback.</li></ul>
Innovation in teaching methodologies and modalities	<ul style="list-style-type: none"><li>Documentation of innovative teaching practices such as curriculum/web-based design and implementation, teaching modules, and digital media.</li><li>Examples of innovative teaching practices and their adoption or recognition within the field.</li></ul>
National impact and recognition as an educator (required)	<ul style="list-style-type: none"><li>Invitations to serve as faculty in national educational activities or leadership roles in education-related societies.</li><li>Contributing questions to national board/registry examinations in the faculty member's field.</li><li>Recognition or awards received for educational contributions on a national level.</li><li>Adoption of courses and/or educational programs as national exemplars or by other institutions and/or accrediting bodies.</li></ul>
Improvement of educational processes or outcomes	<ul style="list-style-type: none"><li>Evidence of the impact of teaching and mentoring activities, such as enhancements in educational processes, learning outcomes, or curricular innovations.</li><li>Documentation of teaching awards or honors that reflect excellence in education and mentoring.</li></ul>

Contribution to cultural competence and accessibility in education	<ul style="list-style-type: none"> <li>Initiatives or programs led by faculty members to improve cultural competence or access to education for underserved populations.</li> <li>Documentation of the impact of these efforts on the educational environment or enhanced cultural understanding among students and faculty.</li> </ul>
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<b>SERVICE</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Administrative and professional service	<ul style="list-style-type: none"> <li>Service on 1-2 division committees</li> <li>Service on School committee(s)</li> <li>Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives</li> <li>Participation in College and/or University committees, work groups/task forces, or councils is not a requirement, but is considered a high impact activity.</li> <li>Contributions to peer reviews and editorial boards and develop innovative programs that advance the university's mission.</li> </ul>
Service to the Profession/Community	<ul style="list-style-type: none"> <li>Membership on editorial boards or editorships</li> <li>Service as a grant reviewer for national funding agencies</li> <li>Elected or appointed offices held and other service to local and national professional societies, especially those related to the candidate's area of pedagogy or scholarship.</li> <li>Service on panels and commissions.</li> <li>Involvement in accreditation and credentialing activities</li> <li>Creation or implementation of clinical guidelines</li> </ul>
Contribution to public and private entities	<ul style="list-style-type: none"> <li>Provision of professional expertise through consultative roles or services to industry, government, education, and non-profit organizations.</li> <li>Impact of these contributions on policy, practice, or public health.</li> </ul>
Development of innovative programs	<ul style="list-style-type: none"> <li>Leadership in creating and sustaining programs delivering healthcare to the community or addressing societal challenges.</li> <li>Document the program's objectives, activities, and outcomes, demonstrating its impact on the community or targeted populations.</li> </ul>

<b>SCHOLARSHIP</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Contributions to scholarship with a focus on education	<ul style="list-style-type: none"> <li>Peer-reviewed journal publications, book chapters, or review papers focused on innovative teaching techniques and education theory.</li> <li>Developing and disseminating web-based or video-teaching modules are considered published works.</li> </ul>
Peer-reviewed publications and other scholarly outputs	<ul style="list-style-type: none"> <li>A range of 2-3 scholarly written or digital publications since the appointment as a clinical assistant professor of practice. Contributions to textbooks are impactful contributions in this area.</li> </ul>
Merit in collaborative and team-based scholarship	<ul style="list-style-type: none"> <li>Contributions to team science or collaborative projects where the faculty member's expertise was essential.</li> </ul>
Development of educational content and methods	<ul style="list-style-type: none"> <li>Creation of innovative educational content, such as new curricula, teaching methods, or evaluation tools, that peers have adopted or recognized.</li> <li>Impact of these developments on improving educational processes, outcomes, or accessibility.</li> </ul>

**a. Promotion to Clinical Professor of Practice**

**Promotion to Clinical Professor of Practice** must be based upon clear and convincing evidence that the candidate has established a national or international reputation for state or national leadership in education since being appointed to the rank of Clinical Associate Professor of Practice (required). Expectations for engagement, excellence, and impact are the same as for clinical faculty in the clinician-educator pathway. All of the criteria presented in the tables below can be used to demonstrate excellence, recognition, and impact in teaching and mentoring, scholarship and service.

**Promotion to Clinical Professor of Practice**

<b>TEACHING and MENTORING</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Sustained teaching and mentoring excellence	<ul style="list-style-type: none"> <li>Multiple teaching awards and recognitions showcasing sustained excellence.</li> <li>Long-term positive evaluations from students, residents, fellows, and peers.</li> </ul>
Impact on teaching and training programs	<ul style="list-style-type: none"> <li>Evidence in developing impactful, innovative programs integrating teaching, research, and patient care.</li> <li>Contributions to curriculum/web-based innovation, new teaching modalities, and methods of evaluating teaching effectiveness.</li> </ul>
National or international reputation for National leadership in education (required)	<ul style="list-style-type: none"> <li>Leadership roles in national education committees, professional societies, professional accreditation bodies, or the Association of Schools of Allied Health Professions.</li> <li>Organization of national courses and curricula and participation in specialty boards.</li> </ul>
Mentorship of junior faculty	<ul style="list-style-type: none"> <li>Documented evidence of mentoring activities and the resultant impact on junior faculty members' careers.</li> <li>Examples of career development activities led for other faculty members.</li> </ul>

<b>SERVICE</b>	
<b>Criteria</b>	<b>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</b>
Sustained service to the School	<ul style="list-style-type: none"> <li>Service on 1-2 division committees</li> <li>Service on School committee(s)</li> <li>Record of active participation in activities, providing input when asked, and completing assigned tasks competently on division and School committees</li> <li>Participation in recruitment and outreach events (e.g., to community schools, university community, schoolwide events, health system events), program and school events and initiatives.</li> </ul>
Service to the institution, profession, and community	<ul style="list-style-type: none"> <li>Leadership roles on university committees or in program development that contribute to clinical, administrative, or educational missions.</li> <li>Development of innovative programs that advance the university's mission, such as community healthcare initiatives.</li> </ul>
National or international professional service	<ul style="list-style-type: none"> <li>Leadership positions in professional societies.</li> <li>Contributions to peer reviews, editorial boards, and development of professional standards.</li> </ul>
Provision of professional expertise	<ul style="list-style-type: none"> <li>Consultative roles to public and private entities beyond the University, impacting policy or practice.</li> <li>Invitations to serve as external evaluators for promotion candidates from peer institutions, reflecting national reputation.</li> </ul>

SCHOLARSHIP	
Criteria	Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met
Contributions to scholarship with a focus on education	<ul style="list-style-type: none"> <li>Peer-reviewed journal publications, book chapters, or review papers focused on innovative teaching techniques and education theory.</li> <li>Developing and disseminating web-based or video-teaching modules are considered published works.</li> </ul>
Peer-reviewed publications and other scholarly Outputs	<ul style="list-style-type: none"> <li>A range of 2-3 scholarly written or digital publications since promotion to clinical associate professor of practice. Contributions to textbooks are impactful contributions in this area.</li> </ul>
Merit in collaborative and team-based scholarship	<ul style="list-style-type: none"> <li>Contributions to team science or collaborative projects where the faculty member's expertise was essential.</li> </ul>
Development of educational content and methods	<ul style="list-style-type: none"> <li>Creation of innovative educational content, such as new curricula, teaching methods, or evaluation tools, that peers have adopted or recognized.</li> <li>Impact of these developments on improving educational processes, outcomes, or accessibility.</li> </ul>

#### ***Promotion to Senior Lecturer***

Lecturers may be promoted to senior lecturer if they meet the criteria for appointment at that rank as described in Section IV.A.4.

#### ***Promotion of Visiting Faculty***

Visiting faculty members are not eligible for promotion.

### **5. Regional Campus Faculty**

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus tenure-track faculty for promotion and tenure or promotion, the School will give greater emphasis to the quality of teaching and service relative to scholarship. Recognizing that the character and quantity of scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the School nevertheless expects regional campus tenure-track faculty to establish a program of high-quality scholarly activity.

In evaluating regional campus clinical faculty and research faculty for promotion, the School will use the same criteria as described above for the promotion of faculty in each of these categories. Regional campus associated faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean. The decision of the regional campus dean is final.

### **B. Promotion and Tenure, and Promotion Review: Procedures**

The School's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rules [3335-6-04](#) for tenure-track faculty, [3335-7-05](#) for clinical faculty, and [3335-7-32](#) for research faculty, and the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Chapter 3 of the [Policies and Procedures Handbook](#).

## **1. Tenure-Track, Clinical, and Research Faculty on the Columbus Campus**

### ***a. Candidate Responsibilities***

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

- Dossier

Every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs [dossier outline](#). Candidates should not sign the Office of Academic Affairs [Candidate Checklist](#) without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

While the Committee of Eligible Faculty and Appointments, Promotion and Tenure Committee make reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by them. Please refer to the [APT Toolbox](#) for a wealth of information on completing a dossier.

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 dossier submission for promotion, reappointment, or the last five years, whichever is more recent, to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion or reappointment if it believes such information would be relevant to the review. Any such material should be clearly indicated.

For scholarship documentation, a full history of publications and creative work should be included, as this information provides context to the more recent and relevant research record and/or demonstrates scholarly independence. For faculty being considered for promotion to the rank of associate professor, the weight of the review is **from the start date of the faculty appointment** (including time on faculty at another institution) to the present. All scholarship outcomes will be reviewed for increasing independence over time and an increasing trajectory of significant scholarly outcomes over time. For faculty being considered for promotion at the rank of professor, the weight of the review is **from the date of the dossier submission for the promotion to associate professor to present**. Information about scholarship produced prior to that date may be provided. Any such material should be clearly indicated. However, it is the scholarship performance since the date of last promotion that is to be the focus of the evaluating parties. All scholarship outcomes will be reviewed for independence and a continued trajectory of significant scholarly outcomes.

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion, reappointment, or the last five years, whichever is more recent, to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion or reappointment if it believes such information would be relevant to the review. Any such material should be clearly indicated.

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

The complete dossier is forwarded when the review moves beyond the School. The documentation of teaching is forwarded along with the dossier. The documentation of scholarship and service is for use during the School review only, unless reviewers at the college and university levels specifically request it.

## Dossier Documentation

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

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

### i. Teaching.

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

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

Evidence for effective teaching may be collected from multiple different sources including students, residents, peers, and administrators.

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

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

- cumulative SSLE reports (Survey of Student Learning Experience computer-generated summaries prepared by the Office of the University Registrar) for every formal class
- peer evaluation of teaching reports as required by the School's peer evaluation of teaching program (details provided in Appendix I of this document)
- teaching activities as listed in the core dossier including involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
- mentoring postdoctoral scholars and researchers
- extension and continuing education instruction
- involvement in curriculum development
- awards and formal recognition of teaching
- presentations on pedagogy and teaching at national and international conferences
- adoption of teaching materials at other colleges or universities

- other relevant documentation of teaching such as a teaching portfolio as appropriate

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

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

Additional peer evaluation resources can be found in the Resources for Educators section of [FAME's Teaching and Learning website](#).

## ii. Scholarship

Scholarship is broadly defined as the discovery and dissemination of new knowledge by research, study, learning and the scholarship of practice. This includes but is not limited to investigator initiated clinical trials and research based on cases or case series, educational outcomes research, development of academic modules, and entrepreneurship. The nature and amount of scholarship should be pertinent to the faculty member's track and pathway (if applicable) and pattern of responsibilities.

Evaluation of scholarship must be open to the ongoing evolution of new scholarly domains in the medical sciences including scholarship of community engagement. In the College of Medicine, a faculty member's scholarship must be demonstrated to be of high quality, significance and impact.

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

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

Documentation of scholarship also includes grants and contracts submitted and received, and a demonstration of the impact of the scholarship, as documented with citation data, impact factors, book distribution data, adoption of texts or procedures by external TIUs or academic health centers, and so forth. Although receipt of an extramural

grant is meritorious, promotion also requires evidence of the impact and outcomes of the scholarly program it supports.

iii. Service

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

Evidence of administrative service to the University may include appointment or election to School, college, and/or University committees, holding administrative/leadership positions; development of innovative programs, and participating in mentoring activities. Program development, reflecting the integration of teaching, service, and research in a specific content area, may be given special recognition and significance if desired by the School. Evidence of professional service to the faculty member's discipline can include editorships of, or service as, a reviewer for journals or other learned publications; offices held and other service to professional societies. Evidence of the provision of professional expertise to public and private entities beyond the University includes service as a reviewer of grants or other scholarly proposals, external examiner or advisor, a panel and commission participant, and as professional consultant to industry, government, and education. Activities can be provided as evidence of service whether performed in one's capacity as a university employee or as approved outside activities. Documentation of service activities in the dossier should include notation of those performed as approved outside activities. Evaluation of service should include evidence of a spirit of collegiality and collaboration with all of those in the many roles that work to advance the College and its mission.

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

Candidates must indicate the APT document under which they wish to be reviewed. A candidate may be reviewed using the School's current APT document, or they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion (or last reappointment in the case of clinical and research faculty), whichever of these two latter documents is the more recent.

However, for tenure track faculty the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year.

If a candidate wishes to be reviewed under an APT other than the current approved version available [here](#), a copy of the APT document under which the candidate has elected to be reviewed must be submitted when the dossier is submitted to the School.

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

The candidate is expected to review the list of potential external evaluators developed by the School Director and, for candidates in a division, program, or solely assigned to a center, the division, program, or center director. The candidate may add no more than two additional names (one for clinical excellence and clinician educator) but is not required to do so. The candidate may request the removal of no more than two names. The School Director decides whether removal is justified.

- **Other Materials**

In addition to the core of the dossier, the candidate provides copies of annual review letters received since appointment or promotion to the current rank. The office of the School Director may be able to supply these if the candidate does not have a copy. The candidate provides the SSLE reports or other school approved documentation of the effectiveness of teaching for the period of teaching covered by the dossier. The candidate provides copies of peer evaluations of teaching provided by the period covered by the dossier. The School's Director of Academic Affairs may have copies of peer evaluations if the candidate does not.

***b. Appointments, Promotion and Tenure Committee Responsibilities***

The responsibilities of the Appointments, Promotion and Tenure Committee (APT Committee, described above in Section IV.B) are as follows:

- To review this APT document annual and to recommend proposed revisions to the faculty.
- Annually, in spring semester, the APT Committee will review requests from faculty members seeking a non-mandatory review in the following academic year and 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. Each review is performed by the applicable subcommittee of the APT Committee. A simple majority of those eligible to vote on a request must vote affirmatively for the formal promotion review to proceed.
  - The subcommittee bases its decision on assessment of the record as presented in the faculty member's CV or dossier and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
  - A tenured faculty member may be denied a formal promotion review under Faculty Rule [3335-6-04](#)A(3) only once. Faculty Rules [3335-7-08](#) and [3335-7-36](#) make the same provision for non-probationary clinical and research faculty, respectively. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
  - A decision by the subcommittee to permit a review to take place in no way commits the eligible faculty, the School Director, or any other party to the review to making a positive recommendation during the review itself.
- Annually, as part of the Annual Performance and Merit Review (Section V), the APT Committee will provide independent evaluations of faculty. These evaluations are provided to the School Director for incorporation into their Annual Review letter.
  - Evaluations are performed annually for all probationary and un-tenured faculty.
  - Evaluations are performed once every three years for tenured and non-probationary faculty.

***c. Committee of Eligible Faculty Responsibilities***

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

- Annually, in **late spring through early autumn semester**, to provide administrative support for the promotion and tenure review process as described below.
  - The candidate should be shown the list of potential external evaluators by the CEF chair to identify any collaborators, conflicts of interest or other issues that could interfere with the objectivity of the reviews and be invited to augment it with no more than three names of persons who meet the criteria for objective, credible, evaluators. The School may not use more than two names provided by the faculty (one for clinical excellence and clinician educator).
  - Gather internal evidence of the quality of the candidate's teaching, scholarship, and service from students and peers, as appropriate, within the School.
  - Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
  - Meet with each candidate for clarification as necessary and provide the candidate an opportunity to comment on their dossier. This meeting is not an occasion to debate the candidate's record.
  - Establish a mechanism for each candidate's dossier to be accessible for review by the eligible faculty (e.g. secure website) at least two weeks before the meeting at which specific cases are to be discussed and voted.
  - Draft an analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the School Director.
  - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
  - Provide a written evaluation and recommendation to the School Director in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases since the School's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this School's cases.

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

- Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described [here](#).
- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- Consider the interdisciplinary work of a candidate across multiple units as part of the whole work, especially if the candidate has a joint appointment in another unit.
- 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.

- Mandatory Reviews and Promotion
  - For faculty seeking promotion or in a mandatory review year, the Committee of the Eligible Faculty shall meet as a part of the School's Fall Review to review the candidate's progress and provide a written evaluation, including a vote, to the School Director. These evaluations from the Committee of the Eligible Faculty are included in the dossier packet.
  - The eligible members of the Committee of the Eligible Faculty shall meet face-to-face to deliberate and to prepare a written report for the School Director providing the eligible faculty's assessment of quality and effectiveness of the candidate's teaching, quality and significance of scholarship, and quality and effectiveness of service. Participation in the meeting via conference call or a teleconferencing system may be allowed with the permission of the committee chair. Members not present during the meeting cannot vote or contribute to the evaluation of the candidate.

Prior to this meeting, a member of the Committee of the Eligible Faculty shall verify the candidate's publications as required for the dossier.

#### ***d. Program/Division Director Responsibilities***

For mandatory reviews and for consideration of promotion, the division (or program, center, or collaborative if not within a division) director is delegated many supervisory duties and therefore does not participate in voting as a member of the eligible faculty.

The division director writes a letter summarizing the case and indicating whether or not they support the case. The division/program director attends meetings of the eligible faculty at which a vote must be held on faculty in their division to respond to questions raised during the meeting. The division director will leave the meeting during deliberations to allow open discussion and voting among the eligible faculty members.

For promotion reviews and for new senior faculty appointments, the division director develops a list of appropriate external evaluators and accepts suggestions from the candidate following the guidelines above. This list is sent to the School Director for approval.

The division director writes letters using the standard format to request external evaluations and completes the OAA forms documenting the external evaluation for inclusion in the dossier.

The division director mentors the candidate on development of a strong dossier and provides feedback as described for the formal review.

For faculty who hold joint appointments or who have assigned duties in another unit, the division director requests feedback from the supervisor or other TIU head on the performance of the candidate, receives such feedback, and ensures that the letter is included as appropriate with the dossier for consideration during review.

#### ***e. School Director Responsibilities***

In the event that the School Director is on the clinical faculty, and therefore ineligible to conduct the promotion evaluation of a tenure-track candidate for promotion, the School must appoint or otherwise designate a tenured faculty member who can provide the School Director-level review. For review of candidates being considered for promotion to professor, that designee must be a tenured professor.

The responsibilities of the School Director are as follows:

- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. This school will ensure that such questions are asked of all candidates in a non-discriminatory manner. For tenure-track assistant professors, the Director will confirm that candidates are eligible to work in the U.S. Candidates who are not U.S. citizens or nationals, permanent residents, asylees, or refugees will be required to sign an MOU at the time of promotion with tenure.
- To review faculty with budgeted joint appointments. The TIU head from the joint appointment unit must provide a letter of evaluation to the primary TIU head. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on impact of the work of the individual in the field of the joint unit.
- To provide oversight to the division/program director for the responsibilities delegated above. The School Director must approve the list of external evaluators.
- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To charge each member of the Committee of Eligible Faculty to conduct reviews free of bias and based on criteria.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To 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 School review process:
  - of the recommendations by the eligible faculty and School Director;
  - of the availability for review of the written evaluations by the eligible faculty and School Director; and
  - of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the School Director, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the School Director, indicating whether or not they will submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline. With the exception of associated faculty, all dossiers including those with a negative School evaluation must be forwarded to the College. Only the faculty member may stop the review process.

- To receive the Committee of Eligible Faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the School Director's independent written evaluation and recommendation, to the head of the other tenure-initiating unit by the date requested.

## **2. Procedures for Associated Faculty on Columbus Campus**

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

## **3. Procedures for Regional Campus Faculty**

The responsibilities of regional campus candidates are the same as those of a Columbus campus candidate as described above.

Regional campus tenure-track faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean. The regional campus review focuses on teaching and service. The regional campus dean forwards the written evaluation and recommendation of the regional campus review to the School Director, from which point the review follows the procedures described for the Columbus campus faculty. A request to promote requires agreement by the regional campus dean and the School Director.

Regional campus clinical faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean. Following the review, the regional campus dean consults with the School Director. A request to promote follows the same procedures as tenure-track faculty except that external letters are not needed unless scholarship is a component of the assigned role.

The review of regional campus research faculty takes place on the Columbus campus and follows the same procedures as those described above for Columbus campus research faculty. Following the review, the School Director will consult with the regional campus dean. A request to promote requires agreement by the regional campus dean and the School Director.

Associated faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean. The decision of the regional campus dean is final.

## **4. External Evaluations**

This School will seek external evaluations predominantly from evaluators in the following programs:

### **a. Peer and Near Peer Institutions**

The below represents a non-comprehensive list of Peer and Near Peer Institutions for usage in soliciting of External Evaluations of scholarly activity and research. Further Institutions will be considered dependent on candidate's field and area of expertise as appropriate (Example Institutions: specific institutions will change per program specific areas)

- University of Pittsburgh
- University of North Carolina
- University of Kentucky

- University of Kansas
- University of Florida

Justification will be provided in each case when a suggested evaluator is from a program not included on these lists.

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

External evaluations of scholarly activity and research are not obtained for clinical faculty on the clinician-educator pathway or associated faculty unless the faculty member has been involved in a significant amount of scholarship. For clinical faculty on the clinician-scholar or clinical excellence pathway, external evaluations will be obtained to assess scholarship (clinician-scholar) or professional leadership (clinical excellence).

A conflict of interest for external reviewers exists if the reviewer is or has been to the candidate: a) a thesis, dissertation, or postdoctoral advisee/advisor; b) a research collaborator, which includes someone who has been a coauthor on a publication within the past 3 years, including pending publications and submissions; c) a collaborator on a research project within the past 3 years, including current and planned collaborations; d) in a consulting/financial arrangement with the candidate within the past 3 years, including receiving compensation of any type (e.g., money, goods, or services); e) a relative or close personal friend; or f) in any relationship, personal or professional, that could reduce the reviewer’s objectivity. Also excluded are reviewers from the same institution, or those who had previous employment in the same institution within the past 12 months, or those who are being considered for employment at that institution.

A minimum of five credible and useful evaluations must be obtained for tenure track, research, and clinical faculty on the clinician-scholar pathway. A minimum of three must be obtained for clinical faculty on the clinical excellence pathway, and for clinical-educator pathway and associated faculty who have been involved in a significant amount of scholarship. 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, former academic advisor or post-doctoral mentor of the candidate, or someone who has collaborated extensively with the candidate or is currently collaborating with the candidate (see description of conflict of interest for external reviewers just above). External evaluators must be able to provide an objective evaluation of the scholarly work or leadership. They must be at the rank above the candidate being considered unless an exception has been granted by the college. It is therefore essential that the individual or body generating the list of prospective evaluators ascertain the relationship of prospective evaluators with the candidate before seeking a letter of evaluation. Candidates must be provided the opportunity to propose potential external reviewers and to review the proposed list of reviewers to identify potential conflicts. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. The School will solicit evaluation from professors with expertise relevant to the candidate's focus, often from institutions with the academic programs in HRS. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.

- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.
- In the event that a unit is unable to obtain the required number of external evaluations, the unit must document its efforts, noting the individuals who were contacted, how they were contacted, and the dates and number of times they were contacted. The School is to notify the college as soon as it becomes apparent that it will not be able to obtain the required letters in time for the meeting of the eligible faculty. The lack of five external letters (three for clinical excellence and clinician-educator pathways) will not stop a mandatory review from proceeding but will halt a non-mandatory review from proceeding unless the candidate, APT chair, and the School Director all agree in writing that it may proceed and agree that it will not constitute a procedural error.

Since the School cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited with sufficient time prior to the review year 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 selected by the Division/Program/Center Director and the candidate, and approved by the School Director. For Division and Program Directors and other faculty outside a division, program, or center, the external evaluators shall be selected by the School Director 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 School requires that the dossier contain letters from evaluators suggested by the candidate.

The School follows the Office of Academic Affairs suggested format for letters requesting external evaluations. A sample letter for tenure-track and research faculty can be found [here](#). A sample letter for clinical faculty can be found [here](#).

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the School Director, 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 School's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

## **VII. Promotion and Tenure and Reappointment Appeals**

Faculty members who believe they have been evaluated improperly for tenure, promotion, or reappointment may appeal a negative decision to the University Senate Committee on Academic Freedom and Responsibility. Only the candidate may appeal a negative tenure, promotion, or reappointment decision.

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

Faculty Rule [3335-6-05](#) sets forth general criteria for appeals of negative promotion and tenure decisions.

Appeals alleging improper evaluation are described in Faculty Rule [3335-5-05](#).

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

## **VIII. Reviews in the Final Year of Probation**

In most instances, a decision to deny promotion and tenure in the penultimate probationary year is considered final. However, in rare instances in which there is substantial new information regarding the candidate's performance that is relevant to the reasons for the original negative decision, a seventh year review may be conducted. The request for this review must come from the eligible faculty and the School Director and may not come from the faculty member themselves. Details of the criteria and procedures for a review in the final year of probation are described in [University Rule 3335-6-05 \(B\)](#).

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

## **IX. Procedures for Student and Peer Evaluation of Teaching**

There are five types of teaching evaluations used in the School:

- A. The university based standard *Survey of Student Learning Experience (SSLE)*
- B. Peer teaching observation using HRS approved instruments
- C. Peer course evaluation using HRS approved instruments
- D. Guest lecture observation using HRS approved instruments
- E. External review of teaching and course materials.

### **A. Survey of Student Learning Experience (SSLE)**

The University Faculty Rule [3335-3-35 \(C\)\(4\)](#) stipulates that a student be given the opportunity to evaluate the quality of instruction provided in each course. The Survey of Student Learning Experience was developed as the official, university-wide instrument for this purpose. It is administered electronically by the software [Blue](#).

SSLEs are activated when 90% of the class is over. Instructors may delay their activation date as long as it allows students at least five days to respond to the SSLE. All instructors for a class must use the same activation date. The SSLE deactivation date is always the last day before final exams begin (the reading day). Questions about the SSLE setting for a particular course may be directed to the HRS Office of Academic Affairs.

These evaluations are included as a component of the faculty dossier. Reports are available the Tuesday after each commencement. Additional information about SSLE is found [here](#).

## **B. Peer Teaching Observation**

The goal of peer observation is to provide feedback to support the student's learning experience. The peer-to-peer interaction allows for documentation of teaching practices that are evidence-based in support of optimal student learning and provides the foundation for which to have collegial discussions and to receive constructive feedback. The Director of Academic Affairs will assign the peer reviewer. The peer reviewer will be a faculty member outside of the faculty's academic program.

Examples of reviews can include many types and settings:

1. Lecture
2. Lab
3. Competency Checks
4. Small Group Seminar
5. Case Conferences
6. IPE Activities
7. Clinical Course Facilitation
8. Service-Learning Course Activities

### ***1. Procedures for Faculty (that will be observed):***

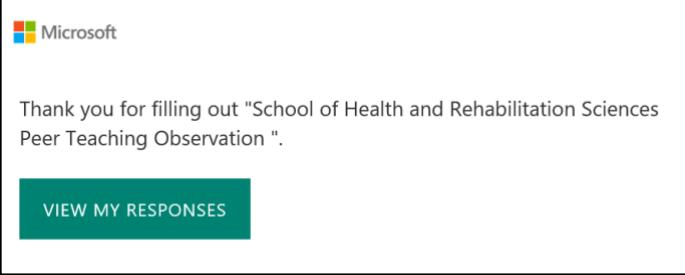
All HRS faculty (tenure-track; clinical; associated) at all ranks are required to have peer-evaluations of their teaching every other year. A peer teaching evaluation can be requested at any time outside of the above-mentioned scenarios. At the beginning of each academic year, the Director of Academic Affairs will assign the peer observer.

1. Faculty should determine course for which they wish teaching to be evaluated. This should be a course/content that has not previously been observed.
2. Self-Review:  
Prior to the first meeting with the reviewer, the faculty member should engage in a process of self-reflection that will allow them to identify two personal objectives they would like the peer reviewer to focus on during the review (this is in addition to the standard review instrument). Below are prompts that may guide the self-reflection.
  - Consider long-term teaching goals. Is there a particular objective associated with the goals that might be addressed in this evaluation?
  - Examples could include seeking a teaching endorsement, working on a course redesign, or, developing a teaching philosophy.
  - What teaching professional development, if any, has influenced the teaching of this course?
  - What new approaches are being tried?
  - How is student feedback being incorporated into class activities or assignments?
3. Faculty members should contact their assigned peer evaluator and provide them copies of the course syllabus, course learning objectives and any other teaching materials. A meeting with peer evaluator should be set to discuss the class session or course content to be observed, the approach to be taken, and the objectives identified during the self-review.

## **2. Procedures for the Peer Evaluator (In Person or online course).**

Peer evaluators should:

1. Contact the individual faculty to be evaluated.
2. Obtain copies of the course syllabus and course learning objectives. Review them to assess how the class session or course content fits into the larger context of the course and curriculum.
3. Meet with the faculty member to be reviewed and discuss the class session or course content to be observed, the approach to be taken, and at least two objectives that they would like the evaluator to focus on (i.e., specific teaching practices or methods the faculty member has been working on and would like the peer evaluator to pay particular attention to).
4. Perform a “fact-based” observation in class: record exactly what the instructor and students do, examples used, etc. Use the HRS approved peer observation instrument (as described below in #5). Additional suggestions include:
  - Have a method of recording what takes place. (See below for information to access the peer observation form.)
  - Arrive at class ahead of time.
  - Note the time in the margin of the review form every few minutes so that the class structure can be put in context.
  - Observe an entire class session. If the peer evaluator must leave, the faculty member should be informed beforehand.
5. During the class, fill out the peer observation form (online form). Not all areas will apply and can be marked N/A. To access and use the required form:
  - Log onto the OAA Teams Site. At the top menu for the site, click on the tab labeled. [Fill](#) [School of Health and Rehabilitation Sciences Peer Teaching Observation](#)
  - Have the form open and complete it during the.
  - At the end of the form, peer evaluators have the opportunity to email themselves a copy. The received email will include this message:



- Click on “View My Responses”
- Right Click to Print.



- Here there is the option to Save as PDF.
- Include the PDF along with the summary letter.

6. Meet with the faculty member again to discuss observations and identify areas for improvement. See Debrief guidelines.
7. Write a supporting letter to summarize the findings:
  - Use the letter to focus on the items within the observation report that are applicable.
  - The letter should only refer to the class session or content observed.
  - The letter should also address the two objectives the faculty member identified for particular attention.
  - Findings should include both positive and constructive feedback.
8. In ONE email, send the following to the faculty member, faculty's division director, and to the Assistant Dean for Academic Affairs:
  - Letter
  - PDF of observation instrument

### **C. Peer Course Evaluation**

The goal of the course evaluation is to provide feedback to support the student learning experience. The peer-to-peer interaction allows for documentation of teaching practices that are evidence-based in support of optimal student learning and provides the foundation for which to have collegial discussions and to receive constructive feedback. The Director of Academic Affairs will assign the peer reviewer. The peer reviewer will be a faculty member outside of the faculty's academic program.

#### **I. Procedures for Faculty who will be evaluated:**

At least once during a probationary period, all faculty should request a course review by a peer evaluator. This request is sent to the Director of Academic Affairs by August 1. A peer evaluation will be assigned. Faculty should:

1. Determine the course they wish to be evaluated.
2. Contact the assigned peer evaluator. Provide copies of the course syllabus, course learning objectives and any other teaching materials.
3. Add the observer to the Carmen course so that all course materials can be evaluated.

4. Meet with peer evaluator to discuss the content to be observed, the approach to be taken, and at least two objectives that the evaluator should focus on (i.e., specific teaching practices or methods being developed and would like the peer evaluator to pay particular attention to).

## **2. *Procedures for the Peer Evaluator (In Person course)***

Peer evaluators should:

1. Obtain copies of the course syllabus and course learning objectives. Review them to assess how the course fits into the larger context of the course and curriculum.
2. Meet with the faculty member to be reviewed and discuss the content of the course, the educational approach (es) that is (are) pertinent, and specific teaching practices or methods the faculty member has been working on and would like the peer evaluator to pay particular attention to, and any other items outlined in the course evaluation instrument.
3. Complete the evaluation form for the Carmen Course Site best practices (See Appendix I).
4. Meet with the faculty member again to discuss observations and identify areas for improvement.
5. Complete the observation report and write a supporting letter to summarize the findings using the standard guidelines. Not all components of the observation tool may apply to every course type (mark NA when not observed or applicable in this situation). The letter should focus on the items within the observation report that are applicable. It should only refer to the course observed.
6. In ONE email, send the following to the faculty member, faculty's division director, and to the Director of Academic Affairs:
  - Letter
  - PDF of observation instrument

## **3. *Procedures for the Peer Evaluator (Online course)***

Peer evaluators should:

1. Obtain copies of the course syllabus and course learning objectives. Review them to assess how the class session to be observed fits into the larger context of the course and curriculum.
2. Meet with the faculty member to be reviewed and discuss the content of the course, the educational approach (es) that is (are) pertinent, and specific teaching practices or methods the faculty member has been working on and would like the peer evaluator to pay particular attention to, and any other items outlined in the course evaluation instrument.
3. Complete the evaluation form for the Carmen Course Site best practices.
4. Using the ODEE Online Course quality instrument, record exactly what the instructor and students do, examples used, etc.
5. Meet with the faculty member again to discuss observations and identify areas for improvement.

6. Complete the observation report using the standard guidelines. Not all components of the observation tool may apply to every course type ( mark NA when not observed or applicable in this situation). Use the letter to focus on the items within the observation report that are applicable. It should only refer to the course observed.
7. In ONE email, send the following to the faculty member, faculty's division director, and to the Director of Academic Affairs:
  - Letter
  - PDF of observation instrument

#### **D. Guest Lecture Evaluation**

HRS has adopted a specific instrument to be used for one-time guest lecture evaluations. This can be summarized for use within the faculty member's dossier.

#### **E. External Review**

Faculty are encouraged and may be required to have an external review of a course for course enhancement and/or promotion and tenure. An external reviewer typically refers to a recognized expert in the field outside of Ohio State University. The faculty member confers with the Division Director to determine a list of 5-6 individuals who would be appropriate to review the faculty member's course materials. The faculty member should select course materials that highlight their teaching abilities. The Division Director will contact the selected reviewer and will send the materials for review. The review is sent back to the Division Director and to the Assistant Dean for Academic Affairs.

## **Appendix: Annual Review Criteria**

Annual review criteria are rated as “Exceeds expectations,” “Meets expectations,” and “Not meeting expectations.” Criteria are divided by workload component: Teaching, Scholarship, Service, and Administrative. Every faculty member has a different workload, so the categories of ratings will necessarily vary. **Individual faculty members are to be rated only on the categories that are relevant to their workload.** Overall ratings for each workload component do not need to be a weighted sum of ratings in each category, but justification should be given for which categories drive the overall rating in each workload component. Where “Not meeting expectations” is blank, this rating should be given when evidence does not exist to give a rating of “Meets expectations.”

## Teaching

Criteria come from measures of excellence and impact in teaching in the School's Appointments, Promotion and Tenure document.

Category of Work: Teaching	Not Meeting Expectations	Meets Expectations	Exceeds Expectations (Outstanding/Special Achievements)
Teaching assigned courses/credit hours, with annual updates to courses		<ul style="list-style-type: none"> <li>Teaches assigned courses and completes routine updates to existing courses to maintain most current information</li> </ul>	<ul style="list-style-type: none"> <li>Assists in the development of a new course and leading the creation of select content within the course</li> </ul>
Program Curriculum (New and Revised)/ Certificate/ Minor		<ul style="list-style-type: none"> <li>Performs regular maintenance and incremental improvements of existing curricula</li> </ul>	<ul style="list-style-type: none"> <li>Proposes ideas and assists with the creation of a curriculum/certificate or revision of program curriculum</li> </ul>
Invited presentations or continuing education lectures			<ul style="list-style-type: none"> <li>Gives invited presentations or continuing education lectures</li> </ul>
Use of best practices in Teaching (Classroom, Professional, Research, Clinical)	<ul style="list-style-type: none"> <li>Provides no evidence of best practices in teaching/mentoring activities and course design or professional development activities</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrates best practices in student-centered teaching/mentoring and course design; attends professional development activities</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrates changes to improve student-centered teaching/mentoring and course design</li> </ul>
Advising Productivity	<ul style="list-style-type: none"> <li>Doesn't meet the advising expectations of the Division (not available to students on a routine basis); doesn't meet with advisees</li> </ul>	<ul style="list-style-type: none"> <li>Advises students as assigned, students make satisfactory progress; completion of recommendation letters, as applicable</li> </ul>	<ul style="list-style-type: none"> <li>Advises students formally or informally beyond Division expectations; assists in the development of resume/CV and/or interview preps</li> </ul>
Integrates and Mentors Students in Scholarship	<ul style="list-style-type: none"> <li>Minimal student mentorship interaction</li> </ul>	<ul style="list-style-type: none"> <li>Participates in student academic committees (PhD, Thesis, Capstone, etc.)</li> <li>Supervises student research credits (eg. 4998, etc.)</li> <li>Students are presenting at local and university research events</li> <li>No evidence of student authorship</li> </ul>	<ul style="list-style-type: none"> <li>Excellent mentorship</li> <li>Evidence of students presenting nationally or publishing in peer-reviewed journals</li> </ul>
Student Evaluations	<ul style="list-style-type: none"> <li>Below average SEI in one or more courses</li> </ul>	<ul style="list-style-type: none"> <li>SEIs at University averages for all courses</li> </ul>	<ul style="list-style-type: none"> <li>Above average SEIs for one or more courses</li> </ul>

<b>Category of Work: Teaching</b>	<b>Not Meeting Expectations</b>	<b>Meets Expectations</b>	<b>Exceeds Expectations (Outstanding/Special Achievements)</b>
of Instruction (SEIs)			
Peer Evaluations	<ul style="list-style-type: none"> <li>Few but significant issues with course design/materials, course delivery, student engagement; Inadequate course planning and organization</li> </ul>	<ul style="list-style-type: none"> <li>Adequately designed course materials, course delivery, student engagement; Adequate course planning/organization</li> </ul>	<ul style="list-style-type: none"> <li>Well-designed course materials, course delivery, student engagement; Excellent course planning and organization</li> </ul>
Teaching Awards			<ul style="list-style-type: none"> <li>Teaching Award</li> </ul>

## **Scholarship**

Criteria come from measures of excellence and impact in scholarship in the School's Appointments, Promotion and Tenure document.

<b>Category of Work: Scholarship</b>	<b>Not Meeting Expectations</b>	<b>Meets Expectations</b>	<b>Exceeds Expectations (Outstanding/Special Achievements)</b>
Publications (peer-reviewed articles, editor-reviewed articles, technical reports, white papers, multimedia, books)	<ul style="list-style-type: none"> <li>Minimal evidence of attempts to publish work</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of active efforts to publish work in impactful venues</li> <li>Meeting annual goals for published works</li> </ul>	<ul style="list-style-type: none"> <li>Award-winning publications</li> <li>Highly cited publications in high-impact journals</li> </ul>
Funding	<ul style="list-style-type: none"> <li>Minimal evidence of attempts to attain funding as PI or as Co-I with unique critical contributions</li> </ul>	<ul style="list-style-type: none"> <li>Grant applications submitted as PI or Co-I are getting scored</li> <li>Internal funding or external funding as PI or Co-I</li> </ul>	<ul style="list-style-type: none"> <li>PI of large external grant/contract/subcontract OR MPI/Co-I with unique critical contribution</li> </ul>
Presentations	<ul style="list-style-type: none"> <li>Minimal evidence of submissions to present scholarship at refereed conferences &amp; meetings</li> </ul>	<ul style="list-style-type: none"> <li>National/international presentations of moderate impact</li> <li>Local/regional presentations</li> <li>Invited presentations of moderate impact</li> </ul>	<ul style="list-style-type: none"> <li>National/ international presentations of high impact</li> <li>Invited presentations of moderate to high impact</li> </ul>
Other Creative Works			<ul style="list-style-type: none"> <li>National/international media coverage (interviews, news stories, podcasts, etc.)</li> <li>Patent granted</li> </ul>
Research Conduct		<ul style="list-style-type: none"> <li>Full and timely adherence to all regulations relevant to the research program</li> <li>ethical treatment of graduate students, postdoctoral fellows, and collaborators</li> </ul>	
Innovation & Leadership		<ul style="list-style-type: none"> <li>Proposed and conducted research is building upon and extending previous work</li> </ul>	<ul style="list-style-type: none"> <li>Successfully broke into new line of research or created new productive research collaboration as evidenced by funding/pubs</li> <li>Participation in national grant review study sections</li> </ul>

## Service

Service activities are highly individual but these categories align broadly with the School's Appointments, Promotion and Tenure document.

Category of Work: Service	Not Meeting Expectations	Meets Expectations	Exceeds Expectations (Outstanding/Special Achievements)
Advances Division Mission	<ul style="list-style-type: none"> <li>• Passive Participant, Infrequent attendance, Does not follow through on commitments</li> </ul>	<ul style="list-style-type: none"> <li>• Actively participates in activities, provides input when asked, completes assigned tasks competently</li> </ul>	<ul style="list-style-type: none"> <li>• Leads some activities, encourages and supports others to achieve their tasks, completes assigned tasks expertly</li> </ul>
Advances School Mission	<ul style="list-style-type: none"> <li>• Passive Participant, Infrequent attendance, Does not follow through on commitments</li> </ul>	<ul style="list-style-type: none"> <li>• Actively participates in activities, provides input when asked, completes assigned tasks competently</li> </ul>	<ul style="list-style-type: none"> <li>• Leads some activities, encourages and supports others to achieve their tasks, completes assigned tasks expertly</li> </ul>
Advances College/University Mission	<ul style="list-style-type: none"> <li>• Passive Participant, Infrequent attendance, Does not follow through on commitments</li> </ul>	<ul style="list-style-type: none"> <li>• Actively participates in activities, provides input when asked, completes assigned tasks competently</li> </ul>	<ul style="list-style-type: none"> <li>• Leads some activities, encourages and supports others to achieve their tasks, completes assigned tasks expertly</li> </ul>
Advances Mission of Profession/ Field/ Community	<ul style="list-style-type: none"> <li>• Passive Participant, Infrequent attendance, Does not follow through on commitments</li> </ul>	<ul style="list-style-type: none"> <li>• Actively participates in activities, provides input when asked, completes assigned tasks competently</li> </ul>	<ul style="list-style-type: none"> <li>• Leads some activities, encourages and supports others to achieve their tasks, completes assigned tasks expertly</li> </ul>

## Administration

Since the Appointments, Promotion and Tenure document for the School is silent on administrative roles, these categories and criteria were developed based on the Key Results Areas of the performance evaluations for leaders at the OSU Wexner Medical Center.

Category of Work: Administration	Not Meeting Expectations	Meets Expectations	Exceeds Expectations (Outstanding/Special Achievements)
People: Recruit and Retain High Performing People	<ul style="list-style-type: none"> <li>• Dissatisfaction with administrator performance</li> </ul>	<ul style="list-style-type: none"> <li>• Individuals express satisfaction with administrator performance</li> </ul>	<ul style="list-style-type: none"> <li>• Individuals express high satisfaction with administrator performance</li> <li>• Leadership recognized by appointment to college or university initiatives.</li> </ul>
People: Develops and supports team members' professional growth	<ul style="list-style-type: none"> <li>• Direct reports express low respect for leadership.</li> <li>• No documentation of guidance for team members' professional growth.</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstrates active role in employee growth and development; promotes a congenial work environment.</li> <li>• Evidence of respect for leadership.</li> </ul>	<ul style="list-style-type: none"> <li>• High respect for leadership by team members.</li> <li>• Team members express satisfaction for their own professional growth.</li> <li>• Individual is recognized for expertise and high-quality actions.</li> </ul>

Category of Work: Administration	Not Meeting Expectations	Meets Expectations	Exceeds Expectations (Outstanding/Special Achievements)
Quality: Create a culture of trust within team(s) and the organization.		<ul style="list-style-type: none"> <li>Individuals express satisfaction with administrator performance</li> <li>Demonstrates respect for individuals whose views and beliefs differ from our own to build positive relationships.</li> <li>Takes time to understand people and data, and assumes positive intent, before making judgements and taking action.</li> <li>Demonstrates active role in employee growth and development; promotes a congenial work environment.</li> </ul>	<ul style="list-style-type: none"> <li>Individuals express satisfaction with administrator performance.</li> <li>Individual is recognized for expertise and high-quality actions.</li> </ul>
Service and Reputation: Creates a culture of shared responsibility and commitment that empowers our team members		<ul style="list-style-type: none"> <li>Demonstrates employee centered decision making</li> <li>Demonstrates ability to respond to requests and strategic planning.</li> </ul>	

Category of Work: Administration	Not Meeting Expectations	Meets Expectations	Exceeds Expectations (Outstanding/Special Achievements)
Productivity & Efficiency: Align departmental strategies with school, college, and university goals through appropriate allocation of human and financial resources.		<ul style="list-style-type: none"> <li>Efficient use of resources.</li> <li>Demonstrates measurable outcomes from goals and subsequent projects established to impact school, college and university.</li> </ul>	
Innovation & Strategic Growth: Create and maintain a collaborative environment that stimulates creativity, positive energy, and results.		<ul style="list-style-type: none"> <li>Minimally maintains current programs and services.</li> </ul>	<ul style="list-style-type: none"> <li>Maintains programs and services that support growth and innovation for the school.</li> <li>Develops new programs or initiatives for school, college and/or university.</li> </ul>