

**Appointments, Promotion, and Tenure
Criteria and Procedures for
The Ohio State University
Department of Neurology**

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Table of Contents

I Preamble.....	4
II Department Mission.....	4
III Definitions	5
A Eligible Faculty.....	5
1 Tenure-track Faculty.....	5
2 Clinical/Teaching/Practice Faculty.....	5
3 Research Faculty.....	6
4 Associated Faculty.....	6
5 Conflict of Interest.....	7
6 Minimum Composition.....	7
B Promotion and Tenure Committee.....	7
C Quorum	7
D Recommendation from the Committee of the Eligible Faculty.....	7
1 Appointment	8
2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal	8
IV Appointments	8
A Criteria	8
1 Tenure-track Faculty.....	8
2 Clinical Faculty.....	10
3 Research Faculty.....	12
4 Associated Faculty.....	13
5 Emeritus Faculty.....	14
6 Courtesy Appointments for Faculty	14
B Procedures.....	15
1 Tenure-track Faculty.....	15
2 Clinical Faculty.....	17
3 Research Faculty.....	17
4 Transfer from the Tenure-track	17
5 Associated Faculty.....	17
6 Courtesy Appointments for Faculty	18
V Annual Performance and Merit Review	18
A Documentation.....	19
B Probationary Tenure-track Faculty	19

1 Fourth-Year Review	19
2 Eighth-Year Review	20
3 Exclusion of Time from Probationary Period.....	20
C Tenured Faculty	20
D Clinical Faculty.....	21
E Research Faculty	21
F Associated Faculty	21
G Salary Recommendations	21
VI Promotion and Tenure and Promotion Reviews.....	22
A Criteria and Documentation.....	23
1 Promotion to Associate Professor with Tenure	23
2 Promotion to Associate Professor in Advance of Tenure.....	26
3 Promotion to Professor	27
4 Clinical Faculty.....	29
5 Research Faculty.....	36
6 Associated Faculty.....	37
B Procedures.....	38
1 Candidate Responsibilities	38
2 Promotion and Tenure Committee Responsibilities	39
3 Eligible Faculty Responsibilities	40
4 Department Chairperson Responsibilities	41
5 Procedures for Associated Faculty	42
6 External Evaluations.....	42
7 Dossier.....	43
VII Appeals.....	47
VIII Seventh-Year Reviews.....	47
IX Procedures for Student and Peer Evaluation of Teaching	47
1 Student Evaluation of Teaching.....	47
2 Peer Evaluation of Teaching.....	47
Appendix A: Glossary of Terms.....	48
Appendix B: AAUP Statement of Professional Ethics.....	50

I Preamble

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

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

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

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

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

II Department Mission

The missions of the Department of Neurology at The Ohio State University College of Medicine are to:

1. Provide expert, professional and empathetic diagnostic services and clinical care for individuals with neurological conditions and diseases, by a diverse faculty with the highest level of qualifications across neurological subspecialties.
2. Educate medical students, residents and fellows about the diagnosis and treatment of neurological diseases and conditions. We strive to train neurologists of the highest caliber for careers in private practice, the pharmaceutical industry, and academia.
3. Perform rigorous and innovative research in the pathogenesis and management of neurologic disorders in order to elucidate genetic and environmental factors, novel biomarkers, therapeutic targets and interventions, and optimal and equitable approaches to diagnosis, prevention, care delivery, and treatment of neurological disease.
4. Raise awareness, in the Central Ohio community and beyond, of the medical and public health importance of neurologic diseases through the development of educational materials, events, and activities.

III Definitions

Eligible Faculty

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

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

1 Tenure-track Faculty

Initial Appointment Reviews

- For appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), a review is performed and a vote on the appropriateness of the proposed rank is 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 tenure reviews of untenured associate professors, the eligible faculty consists of all tenured associate professors and professors.
- For the promotion reviews of associate professors and the tenure reviews of probationary professors, the eligible faculty consists of all tenured professors.

2 Clinical Faculty

Initial Appointment Reviews

- For appointment (hiring) at senior rank (clinical associate professor or professor), a review is performed and a vote on the appropriateness of the proposed rank is cast by all tenured faculty of equal or higher rank than the position requested, and all non-probationary clinical faculty of equal or higher rank than the position requested.

Reappointment, Contract Renewal, and Promotion Reviews

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

3 Research Faculty

Initial Appointment Reviews

- For appointment (hiring or appointment change from another faculty type) at senior rank (research associate professor or research professor), a review is performed and a vote on the appropriateness of the proposed rank is cast by all tenured faculty of equal or higher rank than the position requested and all non-probationary research faculty of equal or higher rank than the position requested.

Reappointment, Contract Renewal, and Promotion Reviews

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

4 Associated Faculty

Initial Appointment, Reappointment, and Contract Renewal

- Initial appointment below senior rank (hiring or appointment change from another faculty type) and reappointment of associated faculty members are decided by the Department Chairperson in consultation with the Promotion and Tenure Committee. Contract renewals are decided by the Department Chairperson in consultation with the Executive Committee.

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

Promotion Reviews

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

For the promotion reviews of associated faculty with tenure-track titles, the eligible faculty shall be the same as for tenure-track faculty as described in Section III.A.1 above. For the promotion reviews of associated clinical faculty, the eligible faculty shall be the same as for clinical faculty as described in Section III.A.2 above.

External letters of review are not required for associated faculty. The review does not proceed to the college level if the Department Chairperson's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

5 Conflict of Interest

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

6 Minimum Composition

In the event that the Department does not have at least three eligible faculty members who can undertake a review, the Department chair, after consulting with the dean, will appoint a faculty member from another tenure-initiating unit within the college.

B Promotion and Tenure Committee

The Department has an Appointment, Promotion and Tenure (APT) Committee that assists the eligible faculty in managing the personnel and promotion and tenure issues. The committee consists of a total of seven (7) to nine (9) members. At least 3 members will be tenure track faculty; the remaining may be non-probationary clinical faculty members. The committee's chair and members are appointed by the Department Chairperson. The term of service is three years, with reappointment possible. When considering cases involving research faculty the Promotion and Tenure Committee may be augmented by a non-probationary research faculty member. When considering cases involving associated faculty the Promotion and Tenure Committee may be augmented by a non-probationary associated faculty member.

C Quorum

The quorum required to discuss and vote on all personnel decisions is a simple majority (greater than 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. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the Department Chairperson has approved an off-campus assignment.

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

D Recommendation from the Eligible Faculty

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

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

1 Appointment

A positive recommendation from the eligible faculty for appointment is secured when a simple majority (greater than 50%) of the votes cast are positive.

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

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when a simple majority (greater than 50%) of the votes cast are positive.

IV Appointments

A Criteria

The Department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the Department. Important considerations include the individual's record to date in teaching, clinical expertise and practice, scholarship and service; the potential for professional growth in each of these areas; and the potential for interacting with colleagues and trainees in a way that will enhance their academic work and attract other outstanding faculty and trainees to the Department. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the Department. The search is either cancelled or continued, as appropriate to the circumstances.

1 Tenure-track Faculty

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

Appointments to this track are made in accordance with University Rule [3335-6-02](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the Department. There must be an expectation that faculty members who are appointed to the tenure track will be assigned a workload that provides sufficient time for the faculty member to meet the expectations and requirements for tenure track appointments.

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

Each license eligible appointee must obtain the appropriate Ohio licensure and other required certifications.

Instructor. Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. An appointment to the rank of

Instructor is always probationary. During the probationary period a faculty member does not have tenure and is considered for reappointment annually. The Department will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. An instructor must be approved for promotion to assistant professor by the beginning of the third year, 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. This request must be approved by the Department's eligible faculty, the Department chair, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted. In addition, all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. For faculty members with clinical responsibilities, certification by the American Board of Psychiatry and Neurology or the American Osteopathic Board of Neurology and Psychiatry in Neurology or eligibility for Board certification, is required. Evidence of potential for scholarly productivity, high-quality teaching, a high level of clinical expertise (when appropriate), and high-quality service to the Department and the profession are desirable. Appointment at 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. An Assistant Professor must be reviewed for promotion and tenure in the mandatory review year (6th year of appointment for faculty without clinical responsibilities, 11th year of appointment for faculty with significant patient clinical service responsibilities); however, promotion and tenure may be granted at any time during the probationary period when the faculty member's record of achievement so merits. For individuals not recommended for promotion and tenure after the mandatory review, the 7th year or 12th year, respectively, will be the final year of employment. 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 with significant patient clinical service responsibilities are granted an extended probationary period of up to 11 years, including prior service credit, depending on the pattern of research, teaching, and service workload. An assistant professor with an extended probationary period is reviewed for promotion and tenure no later than the 11th year as to whether promotion and tenure will be granted at the beginning of the 12th year. For individuals not recommended for promotion and tenure after the mandatory review, the 12th year will be the final year of employment.

Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

Associate Professor and Professor. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs. Certification by the American Board of Psychiatry and Neurology or the American Osteopathic Board of Neurology and Psychiatry is required for faculty members with clinical responsibilities.

Appointment at senior rank requires that the individual, at a minimum, meet the Department's criteria in teaching, scholarship, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. However, a probationary period can be granted after petition to the Office of Academic Affairs. The Department must exercise care in making these appointments, and provide the metrics that the faculty member must achieve to be awarded tenure. For faculty without patient clinical service responsibilities the probationary period may not exceed four years. For faculty with significant patient clinical service responsibility, the probationary period may not exceed six years. Requests for such appointments require the approval of the Dean of the College of Medicine, and the Executive Vice President and Provost.

The university will not grant tenure unless the candidate is a (1) U.S. citizen or national; (2) permanent resident ("green card" holder); (3) asylee or refugee; or (4) an individual otherwise described as a "protected individual" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b). Offers to foreign nationals require prior consultation with the Office of International Affairs. Offers to foreign nationals require prior consultation with the Office of International Affairs.

2 Clinical Faculty

The Clinical faculty exists for those faculty members whose principal career focus is outstanding teaching, clinical and translational research, and delivery of exemplary clinical care. Clinical faculty members will generally not have sufficient protected time to meet the scholarship requirements of the Tenure Track within a defined probationary period. For this reason, the nature of scholarship for the Clinical faculty differs from that in the Tenure Track and may be focused on a mixture of academic pursuits including the scholarship of practice, integration, education, as well as new knowledge discovery. Faculty members appointed to the clinical faculty may choose to distinguish themselves in patient care, teaching, innovative educational program development, or research/scholarship.

The Department supports the Clinician-Scholar, Clinician-Educator, and Clinical-Excellence pathways. These appointments exist for faculty members with significant clinical duties who also engage in significant scholarship, education, and/or excel in clinical service delivery/clinical administration, respectively. Clinical Faculty members are expected to contribute to the Department's research, education, and/or service delivery missions.

The Clinician-Scholar pathway reflects excellence in translational science, clinical research and/or epidemiology/ health services research (e.g., health care disparities, health care policy and comparative effectiveness research), as measured by publications and grant funding. While Clinician-Scholar faculty may serve as the MPI or PI on a grant proposal, securing extramural funding as MPI/PI is not required. However, participation as Co-I or collaborator on extramural funding proposals is expected.

The Clinician-Educator pathway may reflect excellence as an educator as measured by teaching evaluations and innovative teaching practices, modules and publications. Alternatively, the Clinician Educator pathway may reflect an outstanding clinician who has a demonstrated record of educating colleagues and peers such as through invitations to serve as faculty on national continuing medical education programs.

The Clinical Excellence pathway exists for faculty members who focus on exemplary clinical care or unique areas of emphasis in patient management. Faculty members on this pathway

typically devote 80% or more of their effort to patient care or administrative service. Clinical-Excellence faculty attain recognition through the development, refinement, and/or expansion of clinical services. These faculty may build signature clinical programs and/or serve as preferred providers developing a regional or national reputation for clinical service expertise. Clinical

Faculty appointments are made in accordance with Faculty Rule [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the Department. Faculty members on the Clinical faculty are not eligible for tenure and may not participate in promotion and tenure matters of tenure track faculty.

At the time of appointment, probationary Clinical faculty members will be provided with access to the Department, College of Medicine, and University promotion policies and criteria. Appointment of clinical faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. 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. 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.

Instructor of Clinical Neurology. Appointment is normally made at the rank of instructor of clinical Neurology when the appointee has not completed the requirements for the terminal degree, or other relevant training, at the time of the appointment. The Department will make every effort to avoid such appointments. 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 range of responsibilities of an Assistant Professor.

An appointment at the instructor level is limited to a three-year contract. In such cases, if the instructor has not completed requirements for promotion to the rank of assistant professor by the end of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

Assistant Professor of Clinical Neurology. An earned terminal degree and the required licensure are the minimum requirements for appointment at the rank of assistant professor of Clinical Neurology. Certification by the American Board of Psychiatry and Neurology or the American Osteopathic Board of Neurology and Psychiatry in Neurology, or eligibility for Board certification, is required. Evidence of ability to teach is highly desirable.

Associate Professor of Clinical Neurology and Professor of Clinical Neurology. Appointment at the rank of associate professor of Clinical Neurology or professor of Clinical Neurology requires that the individual have the required licensure/certification in his/her specialty, including certification in Neurology by the American Board of Psychiatry and Neurology, or the American Osteopathic Board of Neurology and Psychiatry, and meet, at a minimum, the Department's criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks.

3 Research Faculty

Research faculty appointments exist for individuals who focus entirely on research. These appointments are intended for individuals who will have faculty level responsibilities in the research mission, comparable to the level of a Co-Investigator. Individuals who serve as laboratory managers or otherwise contribute to the research mission at a level comparable to that of a postdoctoral fellow should not be appointed to the research faculty but rather should be appointed as research scientists, potentially with adjunct faculty appointments (postdoctoral fellows are appointed as postdoctoral researchers). Appointments to the Research faculty are made in accordance with Faculty Rule [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the research portfolio of the Department. Unless otherwise authorized by a majority vote of the Tenure Track faculty in a department, Research faculty must comprise no more than twenty per cent of the number of Tenure Track faculty in the Department. In all cases, however, the number of research faculty positions in a unit must constitute a minority with respect to the number of tenure-track faculty in the Department. 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. The initial appointment is probationary, with reappointment considered annually. In general, research faculty appointments will require 100% salary recovery. It is expected that salary recovery will be derived entirely from extramural funds. The faculty member will be informed by the end of each probationary year as to whether he or she will be reappointed for the following year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is no presumption that a new contract will be extended or that subsequent appointments will be offered, regardless of performance. There is also no presumption that subsequent appointments will be offered, regardless of performance. 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 13 of the [Graduate School Handbook](#).

External appointees at the research associate professor or research professor level will demonstrate the same accomplishments in research and service as persons promoted within the Department.

Research Assistant Professor. Appointment at the rank of research assistant professor requires that the individual have a doctorate and a record of high-quality publications that strongly indicate the ability to sustain an externally funded research program.

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

4 Associated Faculty

Associated Faculty, as defined in the Rules of the University Faculty [3335-5-19](#) (D), include “persons with adjunct titles, clinical titles, visiting titles, and lecturer titles,” plus “professors, associate professors, assistant professors, and instructors who serve on tenure track appointments totaling less than fifty per cent service to the university.” Members of the associated faculty are not eligible for tenure, may not vote at any level of governance, and may not participate in promotion and tenure matters of faculty with a primary appointment in the Department of Neurology. Nonprobationary associated faculty may serve on promotion committees when the candidate in an associated faculty member. Associated faculty appointments are for one to three years. Associated faculty may be reappointed.

- Associated clinical faculty with clinical responsibilities must be a licensed health care provider if required for successful execution of their faculty responsibilities.

- Associated faculty must have significant and meaningful interaction in one or more of the following mission areas of the College of Medicine:

- a) Teaching of medical students, residents, clinical fellows, undergraduate or graduate students or postdoctoral fellows: For community physicians providing outpatient teaching of medical students, meaningful interaction consists of supervising medical students for at least one month out of the year.
- b) Research: These faculty members may collaborate with the Department on research projects or other scholarly activities.
- c) Service to the Department: This includes participation in committees or other leadership activities.

The titles listed below are used:

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct are uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the Department, such as teaching rotating medical students or residents, for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for appointment of clinical faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of clinical-track faculty.

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

Clinical Instructor- Practice, Clinical Assistant Professor- Practice, Clinical Associate Professor- Practice, Clinical Professor- Practice.

Practice associated faculty appointments may be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated academic service to the department, for which a faculty title is appropriate. Compensated appointments are given to full time clinicians who are not appointed to the clinical or tenure track faculty.

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

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

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

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

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

5 Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule [3335-5-36](#). Full-time tenure track, clinical, research, or associated faculty may request emeritus status upon retirement or resignation at the age of 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 Department chairperson outlining academic performance and citizenship. The Committee of Eligible faculty (tenured and nonprobationary clinical associate professors and professors) will review the application and make a recommendation to the Department chairperson. The Department chairperson will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting Emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-5-04](#), Emeritus status will not be considered.

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

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

6 Courtesy Appointments for Faculty

Occasionally the active academic involvement in the Department of Neurology 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 Department. Appropriate active involvement includes research or clinical collaboration, graduate student or resident advising, teaching some or all of a course from time to time, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

B Procedures

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

A national search is required to ensure a diverse pool of highly qualified candidates for most tenure-track positions. Exceptions to this policy must be approved by the college and 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](#).

Searches for senior tenure-track faculty generally proceed as follows:

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

The Department Chairperson 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 College of Medicine.

Prior to any search, members of all search committees must undergo inclusive hiring practices training available through the college with resources from the [Office of Diversity and Inclusion](#). Implicit bias training, also strongly encouraged, is available through the [Kirwan Institute for the Study of Race and Ethnicity](#).

The following procedures are followed:

- The Vice Chair of Academic Affairs, Diversity, Equity and Inclusion appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- The search committee develops a search announcement for internal posting in the university Job Postings through the [Office of Human Resources](#) and external advertising, subject to the Department Chairperson's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- The search committee develops and implements a plan for external advertising and direct solicitation of nominations and applications. The university may only award tenure to faculty members who are: (1) U.S. citizens or nationals; (2) permanent residents ("green card" holders); (3) asylees or refugees; or (4) individuals otherwise described as "protected individuals" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b).
- The search committee screens applications and presents its findings to the Department Chairperson.

Virtual or on-campus interviews with candidates should include opportunities for interaction with faculty members, including members the search committee; Department Chair; and the dean or designee when warranted. In addition, it is recommended that tenure track faculty candidates make a presentation to the faculty, and other interested parties, on their scholarship. In some instances, interviews and/ or lectures may be virtual.

Following completion of interviews, the interviewers provide feedback to the Chairperson. Any eligible faculty member may provide feedback to the Chairperson. The details of the offer, including compensation, are determined by the Department Chairperson.

If the offer involves senior rank, five external letters of recommendation are requested. The eligible faculty members vote on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the Department Chairperson. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

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

The department is advised to discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the Office of International Affairs. The university will not grant tenure unless an individual is a (1) U.S. citizen or national; (2) permanent resident ("green card" holder); (3) asylee or refugee; or (4) an individual otherwise

described as a “protected individual” pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b). The TIU will therefore be cautious in making such appointments and vigilant in seeking residency status for the appointee promptly and diligently.

2 Clinical Faculty

Searches for clinical faculty at the Associate Professor or Professor rank generally proceed similarly as for tenure-track faculty. However, exceptions to a national search require approval only by the college dean or their designee. For some positions that do not include scholarly responsibilities, a presentation is not necessary.

3 Research Faculty

Searches for research faculty at the Associate Professor or Professor rank generally proceed similarly as for tenure-track faculty. Exceptions to a national search require approval only by the college dean or their designee.

4 Transfer from the Tenure Track

Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist. Tenure or tenure eligibility is lost upon transfer, and transfers must be approved by the department Chairperson, the college dean, and the executive vice president and provost. The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual’s career goals and activities have changed.

- **Transfer: Tenure Track to Clinical faculty**

If faculty members’ 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 Department Chairperson, Dean, and Executive Vice President and Provost. The first appointment to the new clinical faculty is probationary; and tenure, or the possibility thereof, is revoked.

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

If faculty members wish to engage exclusively in research, without the multiple demands required of the tenure track, they may request a transfer. A transfer request must be approved by the Department Chairperson, Dean, and Executive Vice President and Provost. The first appointment to the new research faculty is probationary; and tenure, or the possibility thereof, is revoked.

- **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.

5 Associated Faculty

Appointments and reappointments of associated or visiting faculty may be proposed by any faculty member in the Department and are decided by the Department Chairperson in consultation with the Promotion and Tenure Committee.

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

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

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

6 Courtesy Appointments for Faculty

Any Department of Neurology faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State Department. A proposal that describes the uncompensated academic service to this Department justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty and the Department Chairperson, the Department Chairperson extends an offer of appointment. The Department Chairperson 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 Department follows the requirements for the annual performance and merit review as set forth in the [Policy on Faculty Annual Review and Reappointment](#), which stipulates that such reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment. According to the policy, the purposes of the review are to:

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

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

The Department Chairperson, or his or her designee (i.e., a division chief), is required (per Faculty Rule [3335-3-35](#)) to include a reminder in the annual performance and merit review letter that all faculty have the right (per Faculty Rule [3335-5-04](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

A Documentation

For their annual performance and merit review, faculty members must submit the following documents to the Chairperson or her/his designee no later than March 1:

- Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 (*required for probationary faculty*) or updated documentation of performance and accomplishments (*non-probationary faculty*)
- updated CV, which will be made available to all faculty in an accessible place, such as Sharepoint (*all faculty*)
- Completed Department of Neurology standardized annual report form approved by the Department Chairperson.

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

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

B Probationary Tenure-track Faculty

Every probationary tenure-track faculty member is reviewed annually by the Department Chairperson or his or her designee (such as a Vice Chairs or Division Director). The Chairperson or designee meets with the faculty member to discuss his or her performance, future plans, and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. The Department of Neurology has established a formal mechanism for the review of all faculty members during the course of each academic year using a standardized evaluation tool. If the annual report is conducted by a Vice Chair or Division Chief, it is reviewed and signed off by the Chairperson.

If the Department Chairperson recommends renewal of the appointment, this recommendation is final. The Department Chairperson's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The Department Chairperson'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 the Department Chairperson 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, tenure tract faculty members undergo a review and vote by the eligible faculty. This annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean makes the final decision regarding renewal or nonrenewal of the probationary appointment.

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

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

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

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

3 Exclusion of Time from Probationary Period

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

C Tenured Faculty

Associate professors are reviewed annually by the Department Chairperson, or his/ her designee (such as a Vice Chair or Division Chief) who submits a written performance review to the Department Chairperson along with comments on the faculty member's progress towards promotion. The Department Chairperson or designee conducts an independent assessment; meets with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review. The Department of Neurology has established a formal mechanism for the review of all faculty members during the course of each academic year using a standardized evaluation tool. If the annual report is conducted by a Vice Chair or Division Chief, it is reviewed and signed off by the Chairperson.

Professors are reviewed annually by the Department Chairperson or designee, who meets with the faculty member to discuss his or her 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 Department, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate and postgraduate education in both teaching and mentoring residents, medical students, graduate students and/ or fellows; and outstanding service to the Department, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and trainees, and in the recruitment and retention of colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

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

D Clinical Faculty

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

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

There is no presumption of renewal of appointment.

E Research Faculty

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

In the penultimate contract year of a research faculty member's appointment, the Department Chairperson must determine whether the position held by the faculty member will continue. External letters of evaluation are not solicited. There is no presumption of renewal of contract. If it will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

There is no presumption of renewal of appointment.

F Associated Faculty

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

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

G Salary Recommendations

The Department Chairperson 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.

Following the first 3 years of employment (or earlier, as per the preference of the faculty member), the annual salaries and raises of faculty members with clinical responsibilities are based on the Faculty Group Practice Compensation Plan guidelines. During the first 3 years of employment, the salaries and raises of faculty members with clinical responsibilities are based on their contracts. The salaries of non-FGP faculty are based on their contracts, in consideration with market and internal equity issues.

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

Faculty who fail to submit the required documentation (see Section V-A above) for an annual performance and merit review at the required time will not receive a 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, clinical practice, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.

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

A Criteria and Documentation

1 Promotion to Associate Professor with Tenure

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

The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher and mentor, 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.

Promotion to the rank of Associate Professor with Tenure occurs when a faculty member exhibits convincing evidence of excellence in the discovery and dissemination of new knowledge, as demonstrated by a national level of significance and recognition of scholarship. In addition, excellence in teaching, mentorship, and service is required, but alone is not sufficient for promotion and awarding of tenure. The awarding of tenure is an acknowledgement of excellence and future potential for preeminence in one's field. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the Department's academic mission at a high level for the duration of their time at the university. 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](#).

Three key areas of achievement: scholarship, teaching and service, are individually discussed below. Achievement of national recognition and impact is a prerequisite for promotion to Associate Professor and awarding of tenure.

Scholarship: Demonstration of national recognition and impact for a thematic independent program of scholarship is an essential requirement for promotion to Associate Professor and the award of tenure. Independence must be reflected in the record of scholarship (e.g., reflected by dissemination of new knowledge evidenced by publications and extramural funding). Scholarship is broadly defined as the discovery and dissemination of new knowledge. Achievement of excellence in scholarship is demonstrated by a substantial body of original knowledge that is published in high quality, peer-reviewed journals or proceedings, and achievement of a national reputation for expertise and impact in one's field of endeavor. Such endeavors might include laboratory investigation, investigator initiated clinical studies and trials, public health services and epidemiological research, development of innovative programs, theoretical insight, innovative interpretation of an existing body of knowledge, implementation science, and diffusion research, among many potential others. While individual circumstances may vary, both the quantity and quality of publications should be considered.

Metrics that are useful in assessing a candidate's record of scholarship include, but are not limited to, the total number of original publications since their appointment as an assistant professor, the number of citations of their publications, the trajectory of the publication and/or citation record, the relative proportion of first/senior/ corresponding authorships. The impact factor of a journal may or may not reflect the quality of the scholarship. For example, in some areas of research the best journal in that area may have a relatively low impact factor but may be highly cited.

Conversely, publication in journals with a very high impact factors is a reflection of broader interest but does not in of itself demonstrate the impact of research. A sustained record of scholarly productivity, reflected by both quality and quantity, as an assistant professor is required for promotion to the rank of associate professor.

Candidates for promotion to associate professor should ideally have 20 or more peer-reviewed publications that report new discoveries, innovations and/ or analytical insights, since their appointment as an assistant professor. The Department tries to balance qualitative and quantitative accomplishments to guide promotion and tenure decisions. Therefore, publication numbers below this range do not preclude acceptable scholarly productivity for this promotion and, likewise, publication numbers above this range do not guarantee acceptable scholarly productivity for this promotion. Review articles and editorials, while a reflection of professional reputation that may be considered in the decision for or against promotion, should not be counted in this specific metric. A successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion. Peer-reviewed research publications without named authorship, such as when an individual has contributed to team science as part of a research team or consortium, are valued and should be considered as part of their scholarly accomplishments but would not be considered as publications. It is expected that the pattern of scholarship will include an increasing proportion of publications as first, senior or corresponding author. The criteria used in support of excellence in scholarship may be discipline-specific and may be adjusted based on the overall pattern of responsibilities. For example, the range of publications may be slightly adjusted in relation to the proportion of the faculty member's effort that is allocated to clinical service. The dossier will require the demonstration of impact, not just the potential for impact.

Considered together, demonstration of impact and a national reputation of an independent program of research is a prerequisite for promotion to Associate Professor and awarding of tenure. Participation in collaborative, multidisciplinary research and team science is highly valued. In cases where a faculty member's collaborative scholarship results primarily in middle authorship, the recognition and impact of their scholarship will be reflected through other indicators such as, but not limited to, the indispensability of the candidate's role and contribution in generating the publication(s), invitations to serve on editorial boards and study sections, and to speak at other academic institutions and national/ international academic meetings, etc.

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

For clinicians seeking tenure, accommodation should be made for the time devoted to clinical practice as reflected in percent effort or average RVUs/FTE. For example, a 25 to 50% clinical

commitment might reduce the required number of publications by 25%. Publication in specialized clinical journals would reduce the impact factor requirement. Nonetheless, candidates for promotion to associate professor with tenure who have significant clinical responsibilities are still expected to obtain extramural (NIH or comparable, as defined above) funding as a PI, Co-PI, MPI to support their research program. Serving as the site-PI for a multi-center trial would not satisfy the expectation for extramural funding on the tenure track. Similarly, faculty members who generate support for their research programs through creation of patents that generate licensing income or spin-off companies would not meet the equivalent criteria of extramural funding. Although the total body of scholarship over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on scholarly achievements while a faculty member at The Ohio State University. It should be appreciated that evidence of scholarship below the specified range does not preclude a positive promotion decision and that scholarship exceeding the specified range is not a guarantee of a positive tenure or promotion decision, especially if it occurs in isolation or in the context of poor performance in other areas, such as evidence of teaching excellence.

Entrepreneurship is a special form of valued scholarship. Entrepreneurship includes patents and licenses of invention disclosures, software development, and materials transfers technology commercialization, formation of startup companies and licensing and option agreements. In as much as there are no expressly defined metrics for entrepreneurship, the Department will analyze these flexibly. Generally, invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding, patents may be considered equivalent to an original peer-reviewed manuscript, and materials transfer activities should be considered evidence of national (or international) recognition and impact. These entrepreneurial activities will be recognized as scholarly or service activities in the promotion and tenure dossier.

Teaching and Mentoring: A strong and consistent record of effective teaching and mentoring is required for promotion and tenure. The dossier must clearly document the faculty member's contribution and the impact of these efforts. Excellence is demonstrated by positive evaluations by medical students, residents, graduate students and fellows, and/or local colleagues and national peers. Teaching awards and other honors are also highly supportive of teaching effectiveness. Teaching effectiveness may also be reflected by documented impact on teaching and training programs, including curricular innovation, new teaching modalities, such as web-based design, or methods of evaluating teaching, program or course development, publications on teaching, and societal leadership in education. Development of impactful, innovative programs that integrate teaching, research and patient care are valued. A list of the career trajectories, current positions, and accomplishments of the faculty member's former mentees (including former graduate students who did their thesis research under the faculty member's primary mentorship, and former postdoctoral fellows) should be documented and used as an important criterion of mentorship success. Career development awards received by the faculty member's mentees while under his or her primary mentorship is yet another criterion.

Service: Service includes administrative service to OSU, excellent patient care, clinical program development, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Evidence of service within the institution can include but is not limited to appointment or election to Department, College of Medicine, hospital, and/or University committees or working groups, directorship of clinical service lines, or leadership of programs. Evidence of service to the faculty member's discipline or public and private entities beyond the University can include, but is not limited to ad hoc journal reviews, editorial boards or editorships; grant reviewer for national funding agencies or prominent national charitable research foundations; elected or appointed offices held and other

service to local and national professional societies; positions help on data safety monitoring boards or steering committees for multi-site clinical trials; service on panels and commissions; and professional consultation to industry, government, and education. Professional expertise provided as compensated outside professional consultation alone is insufficient to satisfy the service criterion. Excellence in teaching, scholarship, and service is moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics.

2 Promotion to Associate Professor in Advance of Tenure

Promotion to Associate Professor in advance of tenure is available to faculty members with clinical responsibilities who have 11-year probationary periods. The criteria for promotion will require a level and pattern of achievement that demonstrates that the candidate is making significant progress toward tenure but has not yet achieved all the requisite criteria for promotion with tenure. Specifically, the candidate should demonstrate evidence of an emerging national recognition.

Promotion in advance of tenure may only occur if a candidate is not in the mandatory review year. If a clinician candidate is promoted in advance of tenure, the tenure review must occur within six years, and no later than the mandatory review year, whichever comes first.

Scholarship: Evidence of substantial progress toward the establishment of a thematic program of scholarship as reflected by a consistent and increasing number of peer reviewed publications as first or senior author. Candidates for promotion to associate professor in advance of tenure should ideally have 10-15 peer-reviewed original publications that report new discoveries, innovations and/ or analytical insights, since their appointment as an assistant professor. Review articles and editorials, while a reflection of professional reputation that should be considered in the decision for or against promotion, should not be counted in this specific metric. A successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion. Peer-reviewed research publications without named authorship, such as when an individual has contributed to team science as part of a research team or consortium are valued and should be considered as part of their scholarly accomplishments but would not be considered as publications. It is expected that the pattern of scholarship will include an increasing proportion of publications as first, senior or corresponding author.

Evidence for emerging national recognition may include but is not limited to invitations to serve as ad hoc journal reviewer and invited lectures outside of the university. Criteria for a promising trajectory in extramural funding might be reflected by serving as a PI on an R21, R03 or equivalent grants, co-I on an R01 NIH grant award, as PI on foundation or other extramural grants. Evidence of scholarship below the specified range does not preclude a positive promotion decision and evidence of scholarship above the specified range does not guarantee a favorable tenure decision.

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

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

3 Promotion to Professor

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

Scholarship: A sustained record of external funding and an enhanced quality and quantity of scholarly productivity as an Associate Professor is required for promotion to Professor. Candidates for promotion to professor should ideally have over 25 peer-reviewed original publications that report new discoveries, innovations and/ or analytical insights, since their promotion to associate professor. Ideally, they should have authored at least 40-50 original peer reviewed publications in total. Review articles and editorials, while a reflection of professional reputation that should be considered in the decision for or against promotion, should not be counted in this specific metric. A successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion. Peer-reviewed research publications without named authorship, such as when an individual has contributed to team science as part of a research team or consortium are valued and should be considered as part of their scholarly accomplishments but would not be considered as publications.

It is expected that the pattern of scholarship will include a substantial proportion of publications as senior or corresponding author. Candidates for promotion will be expected to have developed and maintained nationally competitive and peer reviewed extramural funding to support their research program including sustained NIH (or equivalent) funding. At a minimum, candidates for promotion to professor who do not have clinical responsibilities must be a PI or multiple-PD/PI on at least one NIH funded R01 or equivalent grant with a history of at least one competitive renewal and another nationally competitive grant, or have simultaneous funding on two NIH (or equivalent) awards. While NIH funding is preferred, other federal (e.g. CDC, NSF, DoD, USDA, AHRQ, DARPA), major foundation (e.g., National Multiple Sclerosis Society or the Michael J. Fox Foundation for Parkinson's Research), could substitute. In some circumstances, (e.g. specific techniques) faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple NIH grants would satisfy the requirement for extramural funding.

Candidates for promotion to Professor who have significant clinical responsibilities are expected to obtain extramural NIH or comparable funding as defined above as a PI or MPI to support their research program. Depending on the extent of clinical responsibilities, sustained funding through pharmaceutical or instrumentation companies for investigator-initiated proposals may be

acceptable. Serving as the site-PI for a multi-center trial would not satisfy the expectation for extramural funding on the tenure track. Similarly, faculty members who generate support for their research programs through creation of patents that generate licensing income or spin-off companies would not meet the equivalent criteria of extramural funding. In some circumstances (e.g. specific techniques), a faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple NIH grants would satisfy the requirement for extramural funding.

Entrepreneurship is a special form of valued scholarship. Entrepreneurship includes patents and licenses of invention disclosures, software development, and materials transfers technology commercialization, formation of startup companies and licensing and option agreements. In as much as there are no expressly defined metrics for entrepreneurship, the Department will analyze these flexibly. Generally, invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding, patents should be considered equivalent to an original peer-reviewed manuscript, and materials transfer activities should be considered evidence of national (or international) recognition and impact. These entrepreneurial activities will be recognized as scholarly or service activities in the promotion and tenure dossier.

Examples of evidence of national leadership or an international reputation includes but is not limited to election or appointment to leadership positions in national or international professional societies, service as a national committee or task force chair, chair of an NIH or other federal review panel, regular membership on an NIH study section, peer recognition or awards for research, editorial board memberships or editorships of scientific journals, and invited lectures at hospitals or universities outside the country or at meetings of international societies.

Teaching and Mentoring: A record of teaching excellence as an Associate Professor must continue to justify promotion to the rank of Professor. Evidence may include, but is not limited to outstanding student, resident, fellow, local colleagues, and/or national peer evaluations, course or workshop leadership and design, a training program directorship, teaching awards, and organization of national courses, symposia, and curricula, and participation in specialty boards or Residency Review Committees of the Accreditation Council for Graduate Medical Education. Active participation as a mentor in training grants such as NIH T32 or K- awards is highly valued as a teaching and mentoring activity. Mentorship of junior faculty is expected for candidates for promotion to Professor. It is presumed that this will take the form of a primary mentoring relationship, and not just ad hoc career coaching. Candidates should provide evidence of the impact of their mentorship. A list of the career trajectories, current positions, and accomplishments of the faculty member's former mentees (including former graduate students who did their thesis research under the faculty member's primary mentorship, and former postdoctoral fellows) should be documented and used as an important criterion of mentorship success. Career development awards received by the faculty member's mentees while under his or her primary mentorship is yet another criterion.

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

4 Clinical Faculty

Appointment to Assistant Professor of Clinical Neurology. For appointment to assistant professor of Clinical Neurology, a faculty member must complete his/her doctoral degree and meet the required licensure/certification in Neurology and be perform satisfactorily in teaching, professional practice, and service.

Promotion to Associate Professor of Clinical Neurology. For promotion to associate professor of clinical Neurology, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of this Department. Board certification (or its equivalent) is expected. Specific criteria in teaching and service for promotion to associate professor of clinical Neurology differ, based on the pathway chosen (Clinician Scholar, Clinician Educator, Clinical Excellence), as outlined below.

a. Clinician Scholar Pathway

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

Scholarship: Demonstration of impact and a national reputation for scholarship is a prerequisite for promotion to Associate Professor on the Clinical Scholar Pathway. The candidate must demonstrate scholarship typically as reflected by primary, senior or corresponding author of peer reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational or clinical research projects or in clinical trials. Participation in collaborative, multidisciplinary research and team science is valued. Faculty members who participate in team science may have a record of scholarship primarily as middle author. In these cases, there must be evidence from other domains that demonstrate the faculty member's unique expertise at the national or international level (e.g., invitation to serve on study sections, invitation to speak at national meetings).

In general, a range of 15-20 or more peer reviewed publications since appointment to Assistant Professor is expected. However, the Department tries to balance qualitative and quantitative accomplishments to guide promotion and tenure decisions. Therefore, publication numbers below this range do not preclude acceptable scholarly productivity for this promotion and likewise publication numbers above this range do not guarantee acceptable scholarly productivity for this promotion. The dossier will require the demonstration of impact, not just the potential for impact. Although review articles may form a portion of the publication list (typically less than 30%), and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will typically contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion. Peer-reviewed research publications without named authorship, such as when an individual has contributed to team science as part of a research team or consortium are valued and should be considered as part of their scholarly accomplishments but would not be considered as publications. In addition, national levels of productivity amongst disciplines may vary substantially and this variation

should be appropriately acknowledged.

Faculty on this pathway should have acquired external funding in support of their program of scholarship. Candidates should have a track record of funding by foundation, industry, NIH or comparable agencies (e.g., CDC, NSF, DoD, USDA, AHRQ, DARPA). This could include being a site PI on a multicenter clinical trial or a PI on an investigator-initiated clinical trial. Alternatively, entrepreneurship and inventorship are also evidence of scholarly activity.

Teaching and Mentoring: A strong and consistent record of effective teaching and mentoring is required for promotion. This may be demonstrated by positive evaluations by undergraduate, graduate, and post-graduate learners (residents and clinical fellows) as well as local colleagues and/or national peers. Teaching evaluations may be based on presentations internally or at other academic institutions, presentations or tutorials at scientific conferences or meetings, bedside teaching scores, presentations at other medical centers or hospitals, etc. Teaching awards and other honors are also supportive of a strong teaching record, but are not required. Peer evaluation is required on a recurring basis for all faculty members (see dossier documentation section).

Service: Service is broadly defined to include administrative service to the University, exemplary patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Professional service could include, but is not limited to, peer reviews of manuscripts and grant applications, serve on editorial boards, leadership positions in professional societies.

b. Clinician Educator Pathway

The awarding of promotion to the rank of Associate Professor on the Clinical faculty – Clinician-Educator Pathway must be based upon convincing evidence that the candidate has developed a national level of impact and recognition as a clinician educator since being appointed to the rank of Assistant Professor. Evidence of national recognition and impact should be related to the primary focus of this pathway (clinical or didactic education), but can also be related to clinical, scholarship, or professional service. Excellence is not required in all domains. The Clinician-Educator pathway may reflect effectiveness as an educator of trainees at any level. Alternatively, the clinical educator pathway may reflect an outstanding clinician who has a demonstrated record of educating colleagues and peers, such as through invitations to serve as faculty on national continuing medical education programs.

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

Service: Service is broadly defined to include administrative service to the University, exemplary patient care, program development relating to clinical, administrative, leadership

and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Professional service could include, but is not limited to, peer reviews of manuscripts and grant applications, service on editorial boards, leadership positions in professional societies.

Scholarship: The candidate must demonstrate contributions to scholarship, a portion of which should be peer-reviewed journal publications. Candidates must demonstrate the impact of their scholarship. Faculty in the Clinician Educator Pathway may focus on the pedagogy of education and publish in this domain. Examples include papers regarding innovative teaching techniques, scholarly review articles and book chapters focused on education theory, new curricula and methods of evaluation. Alternatively, other faculty members in the Clinician Educator Pathway may publish works based on their areas of clinical expertise which form the basis for their teaching of colleagues and peers. These may include, but are not limited to review papers, book chapters as well as original investigator-initiated studies related to their area of clinical practice. Some faculty members may combine these two areas of career emphasis. For both types of faculty careers, development of web-based or video-teaching modules, applications, and other digital media are considered to be published works. In the current era of team and collaborative scholarship, it is recognized that meaningful scholarship is not uniformly represented by first or senior authorship. Works in which the faculty member's individual and identifiable expertise was essential to the publication are regarded as having merit equivalent to those that are first or senior author. A range of 10-15 scholarly written or digital publications of this type since appointment as an Assistant Professor is suggested as a scope of work consistent with promotion to Associate Professor. However, this range does not represent an inflexible requirement for promotion.

c. Clinical Excellence Pathway

Faculty members with predominantly clinical or clinical administrative responsibilities (ordinarily 80% or greater) may be considered for promotion based on clinical excellence. These faculty are recognized for the scholarship of practice or application which consists of making novel contributions to the advancement of the practice in their field. National recognition is not a requirement for faculty candidates being considered for Associate Professor on the Clinical Excellence Pathway. The awarding of promotion to the rank of Associate Professor on the Clinical Excellence Pathway must be based upon convincing evidence that the candidate has demonstrated a level of excellence and a record of impact relating to clinical care. Promotion will not be granted purely on the basis of length of service to the institution, clinical productivity, or satisfactory job performance. A faculty member who qualifies for promotion on this pathway should have supportive annual evaluations that document clinical effort in the years leading up to promotion on this pathway. These faculty are expected to support the research and teaching mission of the department, but the focus of the promotion review is on demonstration of clinical excellence. The documentation and demonstration of outcomes or impact is required. It is not expected that candidates will meet all of the examples below, but meeting only one will not satisfy the demonstration of collective impact of excellence.

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

1. Multiple lines of evidence supporting excellence in clinical performance, including discipline relevant clinical measures such as, but not limited to quality indicators, mortality metrics, complication rates, turnaround times, readmission rates, process improvements and patient satisfaction rates where performance measures can easily be internally and externally

benchmarked for comparison. Clinical productivity metrics (e.g. wRVU) per se, are not sufficient for supporting excellence in clinical performance.

2. Preferred provider recognition. Referral patterns or other metrics that indicate acknowledgment of a faculty member's expertise such as, but are not limited to, the number of cases referred for a second opinion, patients referred from other countries, states or distal regions within Ohio.
3. A record that demonstrates that a faculty member is frequently consulted by health care providers from outside the OSU/NCH system for advice about patient care.
4. Evidence that health care providers from other medical centers come to OSU/NCH for training specifically by the faculty member, or request proctoring at their home institution by the faculty member.
5. A record that demonstrates the faculty member has been invited to lecture locally, regionally, or at other hospitals, academic medical centers or statewide professional societies.
6. Clinical program development. Evidence that a faculty member has developed a new program or led improvements in an existing program and that subsequent to those innovations the success of the program has materially improved, or the program has been duplicated or adopted within the Medical center or by other institutions or practices. This includes the development of novel multidisciplinary and/ or customized clinics.
7. Evidence that a faculty member has developed clinical innovations that have been adopted by other health care providers within or outside the Medical Center/NCH.
8. Evidence that the faculty member participates as an instructor in local or statewide courses or seminars.
9. Selection for inclusion in physician rankings such as Best Doctors, Castle-Connolly, U.S. News Physicians Survey or similar rankings.
10. Receipt of awards from local, state, national organizations for clinical excellence.
11. Participation in the development of institutional or statewide practice guidelines.
12. Publications in which the faculty member is first or senior author that reflect clinical expertise and proficiency (case studies and series, review articles, book chapters, etc.).

Promotion to Professor of Clinical Neurology. For promotion to professor of Clinical Neurology, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to this Department and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

a. Clinician Scholar Pathway

The awarding of promotion to the rank of Professor on the Clinical faculty-Clinician-Scholar pathway must be based upon convincing evidence that the candidate has developed national

leadership or international recognition as a clinician scholar since being appointed to the rank of Associate Professor. Evidence of national leadership or international recognition and impact should be related to the primary focus of this pathway (scholarship), and can also be related to clinical, educational, or professional service but is not required in all domains.

Scholarship: Demonstration of a sustained and expanded impact and national reputation for scholarship is a prerequisite for promotion to Professor. The candidate must demonstrate scholarship typically as reflected by primary, senior or corresponding author of peer reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational or clinical research projects or in clinical trials. Participation in collaborative, multidisciplinary research and team science is highly valued. Faculty members who participate in team science may have a record of scholarship primarily as middle author. In these cases, there must be evidence from other domains that demonstrate at the national level the faculty member's unique expertise (e.g., invitation to serve on study sections, invitation to speak at national meetings). In general, a range of 20-30 or more peer reviewed publications since appointment to Associate Professor is expected. However, the Department tries to balance qualitative and quantitative accomplishments to guide promotion and tenure decisions. Therefore, publication numbers below this range do not preclude acceptable scholarly productivity for this promotion and likewise publication numbers above this range do not guarantee acceptable scholarly productivity for this promotion. The dossier will require the demonstration of impact, not just the potential for impact. Although review articles, books and book chapters, may form a portion of the publication list and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will also contain peer-reviewed research articles. Peer-reviewed research publications without named authorship, such as when an individual has contributed to team science as part of a research team or consortium are valued and should be considered as part of their scholarly accomplishments but would not be considered as publications.

Faculty on this pathway should have acquired external funding in support of their program of scholarship. Candidates should have a track record of being funded by foundation, industry, NIH or comparable agencies (e.g., CDC, NSF, DoD, USDA, ARHQ, DARPA). This could include being a site PI on a multiple multicenter clinical trials, a PI on multiple investigator-initiated clinical trials, and/or a PI or co-PI on NIH studies. Candidates should have a track record of being a principal investigator in investigator-initiated clinical trials, foundation, industry or NIH studies. Alternatively, entrepreneurship and inventorship are also evidence of scholarly activity.

Teaching and Mentoring: A strong and consistent record of effective teaching and mentoring is required for promotion to Professor. This may be demonstrated by positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching evaluations may be based on presentations internally or at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, etc. Teaching awards and other honors are also supportive of a strong teaching record but are not required. Peer evaluation is required on a recurring basis for all faculty members (see dossier documentation section). Mentorship of junior faculty is an expectation for faculty being considered to the rank of Professor. It is presumed that this will take the form of a primary mentoring relationship, and not just ad hoc career coaching.

Candidates must demonstrate evidence of mentoring or other career development activities for other faculty members. Active participation as a mentor in training grants such as NIH T32 or K-awards and other such mentored programs is very highly valued as a teaching and mentoring activity.

Service: Promotion to the rank of Professor requires service to the University, and in a national context. The faculty member should have increased levels of responsibility and leadership (e.g. committee chair or elected office in national or international organizations) since appointment or promotion to Associate Professor. Candidates may have led the development of new and innovative clinical or clinical research programs which received national recognition. Professional service could include, but is not limited to, peer reviews of manuscripts and grant applications, service on editorial boards, and leadership positions in professional societies. In addition, invitations to serve as external evaluators for promotion candidates from peer institutions is a reflection of national reputation.

b. Clinician Educator Pathway

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

Teaching and Mentoring: A documented record of sustained teaching and mentoring excellence is required for promotion. Candidates must demonstrate the impact of their teaching and mentoring. Sustained positive evaluations by medical students, residents, graduate students, and post-graduate fellows, local colleagues and/or national peers are required. Multiple teaching awards and other honors are indicative of this level of teaching excellence but are not required. Candidates must demonstrate favorable impact on teaching and training programs, such as curriculum/web-based innovation, new teaching modalities or methods of evaluating teaching, and/or program or course development. Other examples include the development of multiple impactful, innovative programs that integrate teaching, research and patient care. Teaching excellence may also be demonstrated through committee appointments in national education committees such as Accreditation Council for Graduate Medical Education, National Medical Association, or Association of American Medical Colleges, including specialty boards or professional societies at national level.

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

Service: Service to the institution and profession is an expectation for promotion to Professor. Service is broadly defined to include administrative service to the University, exemplary patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Professional service could include, but is not limited to, peer reviews of manuscripts and grant applications, service on editorial boards, leadership positions in professional societies. In

addition, invitations to serve as external evaluators for promotion candidates from peer institutions is a reflection of national reputation.

Scholarship: The candidate must demonstrate contributions to scholarship, a portion of which should be peer-reviewed journal publications. Candidates must demonstrate the impact of their scholarship. Faculty in the Clinician Educator Pathway may focus on the pedagogy of education and publish in this domain. Examples include papers regarding innovative teaching techniques, scholarly review articles and book chapters focused on education theory, new curricula and methods of evaluation. Alternatively, other faculty members in the Clinician Educator Pathway may publish works based on their areas of clinical expertise which form the basis for their teaching of colleagues and peers. These may include, but are not limited to, review papers, book chapters as well as original investigator-initiated studies related to their area of clinical practice. Some faculty members may combine these two areas of career emphasis.

Development of web-based or video-teaching modules, applications, and other digital media are considered to be published works. In the current era of team and collaborative scholarship, it is recognized that meaningful scholarship is not uniformly represented by first or senior authorship. Works in which the faculty member's individual and identifiable expertise was essential to the publication are regarded as having merit equivalent to those that are first or senior author. A range of 20-25 scholarly written or digital publications of this type since appointment or promotion to associate professor is suggested as a scope of work consistent with promotion to Professor. However, this range does not represent an inflexible requirement for promotion.

c. Clinical Excellence Pathway

Faculty members with predominantly clinical or clinical administrative responsibilities (ordinarily 80% or greater) may be considered for promotion based on clinical excellence. . These faculty are recognized for the scholarship of practice or application which consists of making novel contributions to the advancement of the practice in their field. The awarding of promotion to the rank of Professor in the Clinical Excellence Pathway must be based upon convincing evidence that the candidate has demonstrated a sustained and enhanced level of excellence in clinical care and has developed a national impact and recognition since being appointed to the rank of Associate Professor. Mentorship of junior faculty is an expectation for faculty being considered to the rank of Professor. National awards for clinical excellence and innovation are clear indicators of achievement. Promotion will not be granted solely on the basis of length of service to the institution, time in rank, clinical productivity, or satisfactory job performance. A faculty member who qualifies for promotion on this pathway should have supportive annual evaluations that document clinical effort since achieving the rank of Associate Professor. These faculty are expected to support the research and teaching mission of the department, but the focus of the promotion review is on demonstration of clinical excellence. The documentation and demonstration of outcomes or impact is required. It is not expected that any candidate will meet all of the examples below but meeting only one will not satisfy the demonstration of collective impact of excellence.

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

1. Multiple lines of evidence supporting excellence in clinical performance, including discipline relevant clinical measures such as, but not limited to quality indicators, mortality metrics, complication rates, turnaround times, readmission rates, process improvements and patient satisfaction rates where performance measures can easily be internally and externally

benchmarked for comparison. Clinical productivity metrics (e.g. wRVU) per se, are not sufficient for supporting excellence in clinical performance.

2. Preferred provider recognition. Referral patterns or other metrics that indicate acknowledgment of a faculty member's expertise such as, but are not limited to the number of cases referred for a second opinion, patients referred from other states or other countries.
3. A record that demonstrates that a faculty member is frequently consulted by health care providers from outside the OSU/NCH system for advice about patient care.
4. Evidence that health care providers from other medical centers outside of Ohio come to OSU/NCH for training specifically by the faculty member, or request proctoring at their home institution by the faculty member.
5. A record that demonstrates the faculty member has been invited to lecture nationally at hospitals, academic medical centers or national professional societies.
6. Clinical program development. Evidence that a faculty member has developed a new program or led improvements in an existing program and that subsequent to those innovations the success of the program has materially improved, or the program has been duplicated or adopted within the Medical center or by other institutions or practices.
7. Evidence that a faculty member has developed clinical innovations that have been adopted by other health care providers within or outside the OSU/NCH.
8. Evidence that the faculty member participates as an instructor in statewide or national courses or seminars.
9. Selection for inclusion in physician rankings such as Best Doctors, Castle-Connolly, U.S. News Physicians Survey or similar rankings.
10. Receipt of awards from state or national organizations for clinical excellence.
11. Participation in the development of national practice guidelines.
12. Publications in which the faculty member is first or senior author that reflect clinical expertise and proficiency (review articles, book chapters, etc.).

5 Research Faculty

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

Promotion to Research Associate Professor

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

roles on multi-center studies, etc. Research faculty typically are not expected to establish an independent program of research. Promotion to associate professor requires documentation of a sustained and substantial record of scholarship based upon their expertise. Candidates typically should have 20-25 peer reviewed original journal publications since their appointment as research assistant professors. First, senior, or corresponding authorships are typically not expected. Overall, the number of publications required for promotion should be sufficient to persuasively characterize the faculty member's influence in helping to discover new knowledge in their field. Thus, both quality and quantity are important considerations. It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive promotion decision. Similarly, records of scholarship below the specified range do not preclude a positive promotion decision.

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

Promotion to Research Professor.

The awarding of promotion to the rank of Research Professor must be based upon convincing evidence that the candidate has established a national level of recognition and impact beyond that which was established for promotion to associate professor. This may be reflected by (but not limited to) invitations to review manuscripts or grant applications, invitations to lecture at scientific societies or other universities, consultation with industry or governmental agencies, requests for collaboration from other universities, request to serve in central roles on multi-center studies, etc. Research faculty typically are not expected to establish an independent program of research. Promotion to professor requires documentation evidence of a sustained and substantial record of scholarship. Candidates should have 25-35 peer reviewed journal publications since their appointment as research associate professor. Some first, senior, or corresponding authorships are expected. Overall, the number of publications required for promotion should be sufficient to persuasively characterize the faculty member's influence in helping to discover new knowledge in their field. Thus, both quality and quantity are important considerations. It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive promotion decision. Similarly, records of scholarship below the specified range do not preclude a positive promotion decision. It is expected that the successful candidate will have a sustained record of 100% salary recovery from extramural sources. Research faculty typically serve as Co-Investigators, and independent extramural funding (Principal Investigator or Multiple Principal Investigator) is not required.

6 Associated Faculty

a. Compensated Associated Faculty

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

procedures will be identical to those for the clinical educator pathway, except that the decision of the Dean is final.

b. Uncompensated Associated Faculty

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

Required documentation for considering promotion of associated faculty:

- Submission of an updated CV
- Letters from two people, including the faculty member's immediate supervisor (i.e., division director or clerkship director), who can attest to the associated faculty member's contributions.
- Teaching evaluations if available
- Letter from the Promotion and Tenure Committee including the vote of eligible faculty
- Letter from the Department Chairperson

B Procedures

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

1 Candidate Responsibilities

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates are fully responsible for the contents of the dossier and should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.
- To submit a copy of the Appointments, Promotion and Tenure (APT) document under which the candidate wishes to be reviewed. Candidates may submit their Department's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year. The APT document must be submitted when the dossier is submitted to the Department.

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

2 Promotion and Tenure Committee Responsibilities

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

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only Professors on the committee may consider promotion review requests to the rank of Professor.
 - The committee 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 (including student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - A tenured faculty member may only be denied a formal promotion review under Faculty Rule [3335-6-04](#) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
 - Faculty members who are not 1) U.S. citizens or nationals; (2) permanent residents (“green card” holders); (3) asylees or refugees; or (4) individuals otherwise described as “protected individuals” pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b) may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until the status is established. Faculty members not eligible for tenure due to lack of status as a “protected individual” under the immigration laws are moreover not considered for promotion by this department. The committee will confirm the status of an untenured faculty member seeking non-mandatory tenure review with the department chair.
 - A decision by the committee to permit a review to take place in no way commits the eligible faculty, the Department Chairperson, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - Late Spring to Summer:
 - Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's

responsibilities are described in the Office of Academic Affairs annual procedural guidelines.

- Suggest names of external evaluators to the Department Chairperson.
 - 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 his or her dossier. This meeting is not an occasion to debate the candidate's record.
- Early Autumn:
- Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.
 - Revise the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the Department Chairperson. This letter will be evaluative as well as descriptive and contextualize the vote, including any "minority opinions" as appropriate. In the event the candidate is on the tenure track, this letter must be written by a tenured associate professor or professor if the candidate is an assistant professor being considered for promotion to associate professor, and by a tenured professor if the candidate is an associate professor being considered for promotion to professor.
 - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
 - Provide a written evaluation and recommendation to the Department Chairperson in the case of joint appointees from another Department.

3 Eligible Faculty Responsibilities

The evaluation by the eligible faculty is not advisory, but rather represents an independent review. The responsibilities of the members of the Eligible Faculty are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.
- The Promotion and Tenure Committee chair will serve as the chair of the eligible faculty and will write a letter to the Department Chairperson reporting the vote and summarizing the discussion of the eligible faculty.

4 Department Chairperson Responsibilities

The responsibilities of the Department Chairperson are as follows:

- To charge each member of the eligible faculty to conduct reviews free of bias and based on criteria.
 - To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. (The department must ensure that such questions are asked of all applicants in a non-discriminatory manner.) Faculty members who are not 1) U.S. citizens or nationals; (2) permanent residents (“green card” holders); (3) asylees or refugees; or (4) individuals otherwise described as “protected individuals” pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b) may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until the status is established. Faculty members not eligible for tenure due to lack of status as a “protected individual” under the immigration laws are moreover not considered for promotion by this department.
- *Early Summer to early Autumn:*
 - To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the Department Chairperson, and the candidate. (Also see External Evaluations below.)
 - To solicit an evaluation from a Department Chairperson of any Department in which the candidate has a joint appointment.
 - To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
 - To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
 - To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. At the request of the eligible faculty, the Department Chairperson will leave the meeting to allow open discussion among the eligible faculty members.
 - *Mid-Autumn Semester:*
 - To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
 - To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
 - To inform each candidate in writing after completion of the Department review process: (i) of the recommendations by the eligible faculty and Department Chairperson; (ii) of the

availability for review of the written evaluations by the eligible faculty and Department Chairperson; (iii) of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the Department Chairperson, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the Department chair, indicating whether or not he or she expects to submit comments.

- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the Department Chairperson recommends against promotion. A negative recommendation by the Department Chairperson is final in such cases.
- To receive the eligible faculty's written evaluation and recommendation of candidates who are joint appointees from other Departments, and to forward this material, along with the Department Chairperson's independent written evaluation and recommendation, to the chair of the other Department by the date requested.

5 Procedures for Associated Faculty

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

6 External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews other than associated faculty. For tenure track, research, clinical educator, and clinical scholar candidates, letters must be external to the university. Clinical excellence candidates may have letters from this institution. As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the Department Chairperson, 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. Candidates are permitted to suggest external evaluator names following the criteria below. 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."

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant), who is not a close personal friend, research collaborator (no shared publications in the last five years, unless part of a very large multi-centered project with a large number of authors), or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This Department will solicit evaluations only from faculty (generally Professors) at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors. Faculty being considered for promotion on the clinical excellence pathway

may have evaluators from this university or from local/regional experts, including a minority of evaluators who are not faculty members, but whose positions afford them the ability to comment on the impact of the candidate's portfolio of professional activities.

- 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 the Department is unable to obtain the required five external evaluations, the Department must document its efforts, noting the individuals who were contacted, how they were contacted, and the dates and number of times they were contacted. The department is to notify the college as soon as it becomes apparent that it will not be able to obtain the required letters in time for the meeting of the eligible faculty. The lack of five external letters will not stop a mandatory review from proceeding, but will halt a non-mandatory review from proceeding unless the candidate, Promotion and Tenure Committee Chair, and the Department Chairperson all agree in writing that it may proceed and agree that it will not constitute a procedural error.

Since the Department cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than June prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

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

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

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the Department Chairperson, who will decide what, if any, action is warranted (e.g., requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

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

7 Dossier

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate

bears full responsibility for all parts of the dossier that are to be completed by him or her. It is the responsibility of the Department to evaluate and verify this documentation.

The time period for teaching documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present.

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

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion to present.

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

a) Documentation

Faculty members preparing their dossiers for promotion and/or tenure review should consult Volume 3 of OAA's [Policies and Procedures Handbook](#) to ensure that all required documentation is included. The following paragraphs provide suggested standards for documenting excellence in Teaching, Research and Scholarship, and Service. Additional standards are included in the specific descriptions of initial appointments, and in the outlined criteria for promotion in other sections of this document.

i. Teaching

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

All Tenure Track and Clinical faculty members must be engaged in teaching, development of the Department's and/or College's academic programs, and mentoring of 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, fellows, postdoctoral trainees (hereafter referred to as learners), peers, self-evaluation and administrators.

Annual learner and peer evaluations, at a minimum, are required. Effectiveness is demonstrated by positive evaluations from undergraduate, graduate, post-graduate learners, local colleagues and/or national peers. 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. Learners must be provided an opportunity to assess the instructor and course using the required assessment tool in every regular classroom course,

ambulatory clinical rotation or inpatient service rotation. Regardless of the instructional setting, effort should be made to obtain evaluations from the largest number of learners possible. When there is a significant discrepancy between the number of students enrolled and the number providing evaluations, the evaluations cannot be assumed to represent a consensus of student opinion.

Typically, documentation of teaching for the promotion dossier will include one or more of the following.

- cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every formal class
- Medical student evaluations (e.g., Vitals)
- Resident evaluations (e.g., MedHub)
- Peer evaluation of teaching reports
- 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
 - mentoring graduate students
 - mentoring MD/ PhD students
 - extension and continuing education instruction
 - involvement in curriculum development
 - awards and formal recognition of teaching
 - presentations on pedagogy and teaching at national and international conferences
 - adoption of teaching materials at other colleges or universities
 - other relevant documentation of teaching as appropriate.

Peer evaluation is required on a recurring basis for all tenure track and clinical 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. Responsibility for arranging for and carrying out peer review activities must rest with someone other than the faculty member whose teaching or teaching materials are to be reviewed.

Other documentation of teaching may include an administrator's assessment of the candidate's teaching load, contribution to the teaching mission of the department, and contribution to curriculum development. Evidence of the success of the candidate's former students including professional and graduate students and post-doctoral trainees should be documented.

Peer evaluation resources can be found at the FAME website.

ii. Scholarship

Scholarship is broadly defined as the discovery and dissemination of new knowledge by research, study and learning. A faculty member's scholarship must be demonstrated to be of high quality, significance and impact. All tenure track, clinical, and research faculty members (with the exception of faculty on the clinical excellence pathway) must develop a record of scholarship that is documented by a body of original scholarly work over a period of time. The evidence for

scholarship must refer to original, substantive works that are documented achievements. Recognition of the scholarly work must also be external to the University, residing in the scientific communities apropos to the faculty member's field of scholarship.

Scholarship is broadly defined and can include all aspects of basic and translational biomedical science, clinical research including clinical trials and research based on cases or case series, public health services research, epidemiological studies, educational outcomes research, development of academic modules, etc. The nature of scholarship should be pertinent to the faculty member's track 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 departments or academic health centers, and so forth.

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. A candidate's service contributions must be demonstrated to be of high quality and effectiveness. All tenure track and clinical faculty members must contribute to service as evidenced by documentation of contributions over a sustained period of time.

Evidence of administrative service to the University may include appointment or election to Department, College, and/or University committees, holding administrative positions; development of innovative programs, and participating in mentoring activities. Program Development, reflecting the integration of teaching, service and research in a specific content area, may be given special recognition and significance. Evidence of professional service to the faculty member's discipline can include editorships of, or service as, a reviewer for journals or other learned publications; offices held and other service to professional societies. Evidence of the provision of professional expertise to public and private entities beyond the University includes service as a reviewer of grants or other scholarly proposals, external examiner or advisor, a panel and commission participant, and as professional consultant to industry, government, and education. While provision of high quality patient care is expected of all faculty members with clinical responsibilities, in and of itself it is insufficient for meeting the service requirement for tenure track and clinical faculty.

VII Appeals

Faculty Rule [3335-6-05](#) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule [3335-5-05](#). Disagreement with a negative decision is not grounds for appeal. In pursuing an appeal, the faculty member is required to document the failure of one or more parties to the review process to follow written policies and procedures.

VIII Seventh (Twelfth) -Year Reviews

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

IX Procedures for Student and Peer Evaluation

1 Student Evaluation of Teaching

Use of standardized learner group teaching evaluations in the Department is required.

2 Peer Evaluation of Teaching

The Vice Chair of Academic Affairs, Diversity, Education and Inclusion oversees the Department's peer evaluation of teaching process. Peer evaluations of teaching should occur annually, at a minimum. Peer evaluation opportunities for faculty in the Department may occasionally occur outside of OSU, for example while speaking or teaching courses at national or international conferences and symposia, or while giving grand rounds and invited lectures at other academic institutions. Each faculty member is responsible for identifying her or his peer evaluators in those instances.

Peer evaluation of teaching may occur in many different venues, as applicable to a faculty member's primary teaching responsibility. Learners may include medical students, graduate students, residents and fellows. Faculty members may be evaluated bedside; giving lectures as part of the residency and fellowship programs; at CME courses, whether at Ohio State or elsewhere; lecturing in formal didactic courses, etc.

The peer reviewer should focus on such issues as the quality and effectiveness of the instructional materials and assessment tools and the appropriateness of the approach relative to current disciplinary knowledge. During the annual review, the Department Chair or designee will discuss the plan for peer evaluation for the upcoming year and discuss past evaluations with the candidate and suggest improvement strategies if needed. Peer teaching evaluations are comprehensive and should include, in addition to teaching observation, review of instruction materials.

In observing the teaching session and reviewing the instructional materials, the peer reviewer should focus on such issues as appropriateness of the subject matter, the quality and effectiveness of instructional materials and assessment tools, and appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the teaching observation, internal peer reviewers should

meet with the candidate to give feedback, and also submit a written report to the Department Chairperson or Vice Chair of Academic Affairs, Diversity, Equity and Inclusion, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.

X Appendices

A. Glossary of Terms

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

APT—Appointments, Promotion and Tenure

Appointments, Promotion and Tenure Committee—the body of faculty that make recommendations to the Department Chair or Dean regarding the viability of candidates for appointment, promotion and/or tenure.

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

Associated—abroad category of faculty that encompasses adjunct, practice, visiting, lecturers which are typically intended to be short term appointments. (See also Adjunct Faculty, Practice Faculty)

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

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

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

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

Faculty – the College of Medicine has four faculty types: Tenure Track, Clinical faculty, Research faculty, and the Associated faculty

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

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

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

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

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

Non-mandatory review – voluntary promotion or tenure review

OAA – Office of Academic Affairs

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

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

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

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

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

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

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

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

SEI – Student Evaluation of Instruction

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

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

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

VITA- the University’s online dossier and CV creation [tool](#)

B. AAUP Statement on Professional Ethics

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

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