

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

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# **APPOINTMENTS, PROMOTION AND TENURE CRITERIA AND PROCEDURES FOR THE DEPARTMENT OF NEUROLOGICAL SURGERY**

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

This document must be approved by the dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to department 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 TIU 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](#). *“Ohio State does not discriminate on the basis of age, ancestry, color, disability, gender, gender identity or expression, genetic information, HIV/AIDS status, military status, national origin, pregnancy, race, religion, sex, sexual orientation, or protected veteran status, or any other bases under the law, in its activities, academic programs, admission, and employment.”*

## **II. DEPARTMENT MISSION**

The Department of Neurological Surgery of the Ohio State University is dedicated to the achievement of distinction in education, scholarship and public service; the education of skilled professionals in the basic and clinical medical sciences and allied medical professions, the discovery, evaluation and dissemination of knowledge and technology; and the provision of innovative solutions for improving health, with an emphasis on personalized health care.

The Department of Neurological Surgery is a major participant in the education of medical students at all levels of the medical curriculum. It also educates medical school graduates in a Neurological Surgery residency program. The Department instructs graduate students in the College of Medicine's masters-level and in other related disciplines. The Department also conducts a variety of teaching programs for

practicing physicians. From time to time members of the Department may also participate in educational projects for the general public.

The Department members, including both those with medical and graduate degrees, conduct basic and clinical research. Laboratories associated with the Department are active in the instruction of medical students, residents and graduate students in research methodology and technique. Departmental research is supported by both internal and external funding. Department members are engaged in collaborative projects with researchers in other departments of the University and outside of the University. The results of these various efforts are presented at various scientific meetings and symposia, and they are published in books, journals and other media.

Physician members of the Department are active practitioners of Neurological Surgery. The Department strives to maintain a clinical physician staff with the capability of providing a broad spectrum of neurosurgical services, with special expertise in the management of complex and unusual problems in addition to those considered more common.

Department members also participate in the administration and governance of the Hospitals, the College of Medicine and the University through service as members and officers of various committees. In addition, faculty members serve local, regional and national medical organizations in a variety of administrative positions. Faculty members may also serve as members and officers of other charitable and service organizations on a local, regional and national level.

### **III. Values**

Shared values are the commitments made by the College's community regarding how work will be conducted. Our [values](#) in the College of Medicine and the Department of Neurological Surgery include:

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

The Department of Neurological Surgery operates on the premise that all faculty and staff in the Department have unique talents that contribute to the pursuit of excellence. In addition to professional accomplishments, collegiality, civility and mutual respect are strongly held values. The Department supports diverse beliefs and the free exchange of ideas and opinion and expects that faculty, staff, and students promote these values and apply them in a professional manner in all academic endeavors and interactions within and representing the Department.

Each member of the Department contributes directly to Department productivity through personal accomplishments that further our mission areas. Importantly, each member of the Department also contributes indirectly to Department productivity by positively influencing the productivity of others. This synergism may be seen in the creation of our learning environment, research collaborations, co-authorship of publications, team approach to clinical practice including health and wellness, sharing of innovative ideas in committee meetings, community, and industry outreach.

All faculty and staff should work toward establishing and maintaining a team culture and an enriching and diverse intellectual working and learning environment. The department is committed to evaluating the practice of these core values as part of all performance evaluations.

## **IV. Definitions**

### **A Committee of the Eligible Faculty**

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

### **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 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 (associate professor-clinical or professor-clinical), a review is performed and a vote cast by all tenured faculty of equal or higher rank than the position requested, and all non-probationary clinical faculty of equal or higher rank than the position requested.

#### **Reappointment, Contract Renewal, and Promotion Reviews**

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

- Appointment of associated faculty may be proposed by any faculty member in the Department and is decided by the Department chair in consultation with the P&T Associated Faculty Subcommittee. For appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), a review is performed and a vote cast by all tenured faculty of equal or higher rank than the position requested and all non-probationary clinical and research faculty of equal or higher rank than the position requested.

### **Reappointment, Contract Renewal, and Promotion Reviews**

- Reappointments are decided by the Department chair in consultation with the P&T Associated Faculty Subcommittee. Contract renewals are decided by the Department chair in consultation with the Executive Committee. Associated faculty for whom promotion is a possibility follow in general the promotion guidelines and procedures for clinical faculty (see Promotion and Tenure and Promotion Reviews below), with the exceptions that external letters of review are not required and that the review does not proceed to the college level if the Department chair's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

## **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 since the last promotion will be expected to withdraw from a promotion review of that candidate. In addition, an individual who has had personal or professional conflicts or who is or may appear to be biased against the candidate are ineligible to participate in the discussion and vote.

## **6 Minimum Composition**

In the event that the department does not have at least three eligible faculty members who can undertake a review, the department chair, after consulting with the Dean, will appoint a faculty member from another department within the college taking into consideration gender and racial/ethnic diversity when establishing a committee.

## **B Promotion and Tenure Committee**

The department has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing the personnel, faculty evaluation and promotion and tenure issues. The committee's chair and membership are determined according to the department's [Patterns of Administration](#). The term of service is three years, with reappointment possible.

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

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

## **C Quorum**

The quorum required to discuss and vote on all personnel decisions is two-thirds (67%) of the eligible faculty not on an approved leave of absence. Faculty on approved leave of absences 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 chair has approved an off-campus assignment.

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

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

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

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

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

### **1. Appointment**

A positive recommendation from the eligible faculty for appointment is secured when two-thirds (67%) of the votes cast are positive.

- In the case of a joint appointment, the department must seek input from a candidate's joint-appointment TIU prior to his or her appointment.

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

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when two-thirds (67%) of the votes cast are positive.

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

## V. APPOINTMENTS

The Rules of the University Faculty permit the department of Neurological Surgery to make appointments in the following: Tenure-track; Clinical faculty; Research faculty; and to the Associated faculty. The latter contains unpaid and paid associated faculty.

### A. APPOINTMENT CRITERIA

#### 1. TENURE-TRACK FACULTY

The Tenure-track exists for those faculty members who strive to achieve sustained evidence of 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). In addition, excellence in teaching and outstanding service to The Ohio State University is required, but alone is not sufficient for progress on this track.

Appointments to this are made in accordance with University Rule [3335-6-02](#). There must be an expectation that faculty members who are appointed to the tenure-track will be assigned a workload that provides sufficient time for the faculty member to meet the expectations and requirements for tenure-track appointments. The appointment process requires the Department to provide sufficient evidence in support of a Tenure-track faculty appointment so as to ensure that the faculty candidate has clearly and convincingly met or exceeded applicable criteria in teaching, scholarship, and service. [See Section VI of this document for examples]. Each candidate for appointment will undergo an appropriate faculty review by the Department.

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

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

**Instructor.** An appointment to the rank of Instructor is always probationary. During the probationary period a faculty member is considered for reappointment annually. Appointments at the rank of Instructor are appropriate for individuals who do not yet have the requisite skills or experience to fully assume the range of responsibilities of an Assistant Professor. Appointments to this rank may also be made if all of the criteria for the position of Assistant Professor have been met with the exception that the candidate will not have completed a terminal degree, or other relevant training, at the time of the appointment. When an individual is appointed to the rank of Instructor, the letter of offer should indicate the specific benchmarks and achievements required for promotion to Assistant Professor.

Instructor appointments are limited to three years with the third year being the terminal year. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. When an instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the third year of appointment, the third year is a terminal year of employment. The promotion review must follow the procedures for Fourth Year Review [see Section V.B. 1], including review by the College of Medicine. When an Instructor is promoted to Assistant Professor, prior service credit will only be awarded if the faculty member requests it at the time of promotion, and it is approved by the department's eligible faculty, the department chair, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted except through an approved request to exclude time from the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

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

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience. Individuals who have completed all the requirements of their terminal degree, but who have not obtained the final degree at the time of initial employment will be appointed as an Instructor.
- Evidence of potential for excellence in scholarship. Such evidence might include peer-reviewed publications in a mentored setting, but insufficient evidence of an independent, creative, and productive program of research with potential for external funding.
- Evidence of potential for excellence in teaching and mentorship.
- A mindset and record reflecting adherence to standards of professional ethical conduct consistent with the "Statement on Professional Ethics" by the American Association of University Professors [see Appendix B].
- In aggregate, accomplishments related to the above criteria should be sufficiently compelling that the appointee is judged to have significant potential to attain tenure and a distinguished record as a faculty member in the College of Medicine.

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

An appointment to the rank of Assistant Professor is always probationary, with mandatory tenure review occurring in the sixth year of service. For individuals not recommended for promotion and tenure after the mandatory review, the 7<sup>th</sup> year will be the final year of employment. During a probationary period a faculty member does not have tenure and is considered for reappointment annually. Tenure cannot be awarded at the rank of Assistant Professor. An Assistant Professor must be reviewed for promotion and tenure no later than the date specified in the letter of offer (which may be extended by approved requests for exemption from the tenure clock – see Section VI.A.3 for the procedure). A probationary appointment may be terminated at any time subject to the provision of University Rule [3335-6-08](#) and the provision of paragraphs (G), and (H) 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 or 6<sup>th</sup> year of appointment for faculty without significant clinical responsibilities, 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 11<sup>th</sup> year as to whether promotion and tenures will be granted at the beginning of the 12<sup>th</sup> year.

Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee (or Committee of Eligible Faculty) determines such a review to be appropriate.

For appointments at the rank of Assistant Professor, prior service credit of up to three years may be granted for work experience at the time of the initial appointment. Doing so requires the approval of the eligible faculty, Department Chair, Dean, and Executive Vice President and Provost. Prior service credit shortens a probationary period by the amount of the credit and once granted cannot be revoked except through an approved request to exclude time from the probationary period.

A candidate for appointment as assistant professor should have a demonstrated record of impact and recognition at a local or regional level. The following will constitute characteristics of individuals worthy of appointment as assistant professor in the areas of teaching, research and service. Accomplishments in the area of program development will be included within the categories of teaching and service where appropriate.

### **Teaching**

#### Teaching (M.D.)

1. Evidence of teaching competence and accomplishments during residency training and/or prior employment.
2. Teaching awards achieving during residency training or prior employment.
3. Participation in the development of educational materials and programs.
4. A mindset and record reflecting adherence to standards of professional ethical conduct consistent with the "Statement on Professional Ethics" by the American Association of University Professors [see Appendix B].

*(For appointment to the assistant professor level, the individual should have at least achieved accomplishment #1)*

#### Teaching (Ph.D.)

1. Evidence of teaching competence and accomplishments during postdoctoral training and/or prior employment.
2. Teaching awards obtained during postdoctoral training or prior employment.
3. Participation in the development of educational materials and programs.
4. A mindset and record reflecting adherence to standards of professional ethical conduct consistent with the "Statement on Professional Ethics" by the American Association of University Professors [see Appendix B].

*(For appointment to the assistant professor level, the individual should have at least achieved accomplishment #1)*

### **Research**

#### Research (M.D.)

1. Publications in peer-reviewed journals.
2. Presentations of scholarly work at local, regional, national or international forums.
3. Initial development of a specialized area of research or scholarship.
4. Co-authorship of book chapters or other scholarly materials.
5. Early evidence of excellence in scholarship as demonstrated by the initial development of a body of research, scholarship, and creative work. In addition evidence must be provided that supports a

candidate's potential for an independent program of scholarship and a strong likelihood of independent extramural research funding.

*(For appointment to the assistant professor level, the individual should have at least achieved accomplishment #1 or #2)*

#### Research (Ph.D.)

1. Publications in peer-reviewed journals.
2. Presentations of scholarly work at local, regional, national or international forums.
3. Peer-reviewed research funding from federal, professional or academic sources.
4. Initial development of reputation for specific area of research or scholarship.
5. Authorship of books, book chapters or other scholarly materials.
6. Early evidence of excellence in scholarship as demonstrated by the initial development of a body of research, scholarship, and creative work. In addition, evidence must be provided that supports a candidate's potential for an independent program of scholarship and a strong likelihood of independent extramural research funding.

*(For appointment to the assistant professor level, the individual should have at least achieved accomplishment #1 or #2)*

#### **Service**

##### Service (M.D.)

1. Attainment of the M.D. degree (or suitable equivalent)
  2. Satisfactory completion of residency training in an area appropriate to the appointment.
  3. Evidence during residency training or prior employment of a high level of clinical competence.
  4. An attitude which reflects professional ethical conduct consistent with the "Statement of Professional Ethics" of the American Association of University Professors (see Appendix B).
  5. Qualifications necessary for attainment of appropriate licensure medical staff appointment(s).
- (For appointment to the assistant professor level, the individual should have achieved accomplishments 1 through 5.)*

##### Service (Ph.D.)

1. Attainment of Ph.D. degree (or suitable equivalent).
2. Satisfactory completion of postdoctoral training in area suitable to the appointment.
3. Evidence during prior training or employment of research competence.
4. An attitude which reflects professional ethical conduct consistent with the "Statement of Professional Ethics" of the American Association of University Professors (see Appendix B).

*(For appointment to the assistant professor level, the individual should have achieved accomplishments 1 through 4.)*

**Associate Professor with Tenure on the Tenure Track.** Appointment offers at the rank of associate professor, with or without tenure, require prior approval of the Office of Academic Affairs. Criteria for appointment to the rank of Associate Professor with tenure are identical to the Department's and College of Medicine's criteria for promotion to Associate Professor with Tenure, as detailed in Section VI.A.1.a. of this document. In general, appointments at higher rank shall not entail a probationary period unless there are compelling reasons not to offer tenure. Guidelines from the Faculty Rules which relate to probationary periods can be found [here](#).

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.

**Associate Professor in Advance of Tenure on the Tenure-track.** While appointments to the rank of Associate Professor generally include tenure, a probationary period may be granted after petition to the Office of Academic Affairs. The department must exercise care in making these appointments, especially if the probationary period will be less than four years. 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.

An appointment to the rank of Associate Professor without tenure is probationary. During a probationary period a faculty member does not have tenure and is considered for reappointment annually with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered. Criteria for appointment to the rank of associate professor in advance of tenure are identical to the criteria for promotion to associate professor in advance of tenure. Offers to foreign nationals require prior consultation with the Office of International Affairs.

**Professor with Tenure on the Tenure Track.** Appointment offers at the rank of professor require prior approval of the Office of Academic Affairs. Criteria for initial appointment to the rank of Professor with tenure are identical to the department and College of Medicine’s criteria for promotion to Professor with tenure, detailed in section VII.A.1.c of this document. 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.

## **2. CLINICAL FACULTY**

Clinical faculty are equivalent in importance to the College of Medicine as the Tenure-track faculty. 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 robust scholarship requirements of the Tenure-track within a defined probationary period. For this reason, the nature of scholarship in the Clinical faculty may differ significantly from that in the Tenure-track and may be focused on varying academic pursuits including the scholarship of practice, of integration, of education, as well as new knowledge discovery. Faculty members appointed to this may choose to distinguish themselves through several portfolios of responsibility including Clinician-Educator, Clinician-Scholar and Clinical Excellence pathways. The Clinician-Educator pathway may reflect excellence in teaching as indicated by teaching evaluations and innovative teaching practices, modules and publications. This pathway may also reflect outstanding clinicians actively engaging in educating colleagues and peers. The Clinician-Scholar pathway reflects excellence in translational science, clinical research and health services (*e.g.*, health care policy and comparative effectiveness research) as measured by publications and grant funding, respectively. The Clinical Excellence pathway exists for faculty members who focus on exemplary clinical care, unique areas of emphasis in patient management, or outstanding service to a Department, the College of Medicine, and OSU. Faculty members on this pathway typically devote 80% or more of their effort to patient care or administrative service.

Faculty members on the Clinical faculty are not eligible for tenure and may not participate in promotion and tenure matters of tenure-track faculty.

All appointments of faculty members to the Clinical faculty are made in accordance with Chapter 7 of the *Rules for University Faculty* [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the Department. At the time of appointment, probationary Clinical faculty members will be provided with all pertinent documents detailing Department, College of Medicine, and University promotion policies and criteria. If these documents are revised during the probationary period, faculty members will be provided with copies of the revised documents. The most updated documents can be located at the Office of Academic Affairs [website](#).

Contracts will be for a period of at least three years and for no more than five years. The initial contract is probationary and five years in length, with reappointment considered annually. Second and subsequent contracts for clinical assistant and associate professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for clinical professors must be for a period of at least three years and no more than eight years. The faculty member will be informed by the end of each probationary year, consistent with the provisions of Section VI.D [Annual Performance and Merit Review Procedures], if he or she will be reappointed for another year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of the contract may be renegotiated at the time of reappointment.

Additionally, each appointee must obtain the appropriate Ohio licensure and other required certifications, including medical staff privileges. The following paragraphs will outline the basic criteria for initial appointments in the Clinical.

**Instructor of Clinical Neurological Surgery.** Appointment to the rank of Instructor is made if all of the criteria for the position of Assistant Professor have been met with the exception that the candidate will not have completed the terminal degree, or other relevant training, at the time of the appointment. In addition, appointment at the rank of Instructor is appropriate for individuals who, at the time that they join the faculty, do not have the requisite skills or experience to fully assume the full range of responsibilities of an Assistant Professor.

When an individual is appointed as an Instructor, the letter of offer should indicate the specific benchmarks and accomplishments that will be necessary for promotion to Assistant Professor. Instructor appointments are limited to three years, with the third year being the terminal year. The formal review for promotion should begin no later than the beginning of the penultimate year, and must be completed no later than six months prior to the end of the penultimate year. In such cases, if the instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

When the Instructor is promoted to Assistant Professor of Clinical Neurological Surgery, the years of service as an Instructor will not be included in the probationary period. A new letter of offer with a probationary period of three to five years will be issued.

Candidates for appointment to the rank of Instructor of Clinical Neurological Surgery will have, at a minimum:

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study. Individuals who have completed all the requirements of their terminal degree, but who have not completed specialty fellowships or other necessary training at the time of initial employment, will be appointed as an Instructor.
- Evidence of potential for excellence in teaching, which should include accomplishment in both verbal and written communication.
- Evidence of potential for contributions to scholarship as demonstrated by activities such as publications or presentation of abstracts as primary or secondary author. The individual may not as yet have demonstrated substantial evidence of independent contributions as reflected by first author publications and/or presentations.
- Potential to perform effective service as demonstrated by prior accomplishments. Post-doctoral clinical training in an appropriate area; this training may be incomplete and therefore insufficient to permit full assumption of all responsibilities of the Assistant Professor rank.
- Strong potential to advance through the faculty ranks.
- A mindset and record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix B].

**Assistant Professor of Clinical Neurological Surgery.** Candidates for appointment at this rank are expected to have completed all relevant training, including residency and fellowship where appropriate, consistent with the existing or proposed clinical or educational program goals of the Department. The initial appointment to the rank of Assistant Professor is always probationary. During a probationary period a faculty member is considered for reappointment annually. An Assistant Professor may be reviewed for promotion at any time during the probationary period or during a subsequent contract. Similarly, a probationary appointment may be terminated at any time subject to the provision of University Rule [3335-6-08](#) and the provision of paragraphs (B) and (C) of University Rule [3335-7-07](#).

This is the appropriate level for initial appointment of persons holding the appropriate terminal degree and the relevant clinical training, who are expected to be involved in full time teaching and clinical service, with more limited contribution to scholarship. This is also the appropriate level for persons assigned major clinical responsibilities (approximately 80% time), who plan to engage principally in the scholarship of practice.

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

- An earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience; and completion of requisite post-doctoral clinical training programs.
- A record of demonstrated excellence in teaching.
- Evidence of contributions to scholarship as demonstrated by activities such as publication or presentation of abstracts or articles as primary, secondary, or corresponding author; or evidence of a targeted area of superior clinical excellence; educational or clinical program development leadership; or involvement or leadership in quality or operations initiatives.

- Potential to perform effective or exemplary service as demonstrated by prior accomplishments.
- Strong potential to advance through the faculty ranks.
- A mindset and record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix B].

#### Teaching

1. Evidence of teaching ability and accomplishments during residency training or prior employment.
2. Teaching awards achieved during residency training or prior employment.
3. Participation in the development of educational materials and programs.

*(For appointment to the assistant professor level, the individual should have at least achieved accomplishment #1.)*

#### Research and Scholarship

No requirements.

#### Service

1. Attainment of the M.D. degree (or suitable equivalent).
2. Satisfactory completion of residency training in an area appropriate to the appointment.
3. Evidence during residency training or prior employment of a high level of clinical competence.
4. An attitude which reflects professional ethical conduct consistent with the “Statement of Professional Ethics” of the American Association of University Professors (see Appendix B).
5. Qualifications necessary for attainment of appropriate licensure and Medical staff appointment(s).

*(For appointment to the assistant professor level, the individual should have achieved accomplishments 1 through 5).*

**Associate Professor of Clinical Neurological Surgery.** The criteria for initial appointment at the rank of Associate Professor of Clinical Neurological Surgery, are identical to those criteria for promotion to this rank as outlined in Section VI.A.2 of this document.

**Professor of Clinical Neurological Surgery.** The criteria for initial appointment at the rank of Professor of Clinical Neurological Surgery are identical to those criteria for promotion to this rank as outlined in Section VI.A.2 of this document.

### **3. RESEARCH FACULTY**

Research faculty exist for faculty members who focus entirely on research. These appointments are intended for individuals who will have faculty level responsibilities in the research mission, comparable to the level of a co-investigator. Individuals who serve as laboratory managers or otherwise contribute to the research mission at a level comparable to that of a postdoctoral fellow should not be appointed on the research faculty but rather should be appointed as research scientists, potentially with associated faculty appointments (postdoctoral fellows are appointed as postdoctoral researchers). Notably, the standards for scholarly achievement are comparable to those for individuals on the Tenure-track for each faculty rank. A Research faculty member may, but is not required to, participate in limited educational and service activities. Research faculty members are expected to contribute to the Department’s research mission and are expected to demonstrate excellence in scholarship as reflected by high quality peer-reviewed publications and successful competition for NIH or similar funding.

Tenure is not granted to research faculty.

Appointments to the Research faculty are made in accordance with Chapter 7 of the *Rules of the University Faculty* [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the Department. Unless otherwise authorized by a majority vote of the Tenure-track faculty in a department, Research faculty must comprise no more than twenty percent of the number of Tenure-track faculty in the Department. In all cases, however, the number of Research faculty positions in a unit must constitute a minority with respect to the number of tenure-track faculty in the Department.

Contracts will be for a period of at least one year and for no more than five years, and must explicitly state the expectations for salary support. In general, research faculty appointments will require 100% salary recovery. It is expected that salary recovery will be derived from extramural funds. The initial contract is probationary, and a faculty member will be informed by the end of each probationary year as to whether he or she will be reappointed for the following year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

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

**Appointment: Research Assistant Professor.**

Candidates for appointment to the rank of Research Assistant Professor must provide clear and convincing evidence he or she has a demonstrated record of impact and recognition at the local or regional area, and at a minimum, meet the following requirements:

- An earned doctorate or other terminal degree in the relevant field of study, or possession of equivalent experience.
- Completion of sufficient post-doctoral research training to provide the basis for establishment of an independent research program.
- An initial record of excellence in scholarship as demonstrated by having begun to develop a body of research, scholarship, and creative work, and initial evidence of an independent program of research as reflected by first or senior author publications and existing or strong likelihood of independent extramural research funding.
- A mindset and record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix B].
- Strong potential for career progression and advancement through the faculty ranks.

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

The criteria for initial appointment to the rank of Research Associate Professor are identical to those criteria for promotion to this rank as outlined in Section VII.A.3 of this document.

### **Appointment: Research Professor**

The criteria for initial appointment to the rank of Research Professor are identical to those criteria for promotion to this rank as outlined in Section VII.A.3 of this document.

## **4. ASSOCIATED FACULTY**

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

Associated Faculty, as defined in the *Rules of the University Faculty* [3335-5-19](#) (B), includes “persons with adjunct titles, clinical titles, visiting titles, and lecturer titles,” plus “professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than fifty percent 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. Appointments to the Associated faculty can be up to three years. Renewal decisions are made annually and are based upon the faculty member’s continued contributions to the teaching, administration, service, and scholarly activities of the Department. There is no presumption of renewal.

Associated faculty are appointed based on participation in the teaching, patient care, academic, or leadership missions of the Department and the College of Medicine. Unlike Tenure-Track, Clinical, & Research faculty members, Associated faculty members may focus on a limited number of the aspects of the Department mission and may have less than a 50% appointment. These members of the faculty may be paid (receive a University or Medical Center salary) or unpaid. The criteria for appointment and promotion in the Associated faculty differ from those of the other tracks, consistent with the more focused mission of the Associated faculty.

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

- Associated faculty with clinical responsibilities must be a licensed physician or health care provider.
- Have written support for appointment by the Department Chair.
- Have significant and meaningful interaction in at least one of the following mission areas of the Department:
  - The scholarship of the Department: These faculty members may collaborate with the Departmental faculty on research projects or other scholarly activities.
  - Leadership or administrative roles within the Department such as participation in committees or other leadership activities. Membership on the Department Education Committee is one example of a significant role in Department leadership and administration.

- Significant involvement in the care of the patients served by the Department and the Health System and its affiliates.

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments are never compensated. Adjunct faculty appointments are given to individuals who volunteer considerable uncompensated academic service to the Department such as teaching a course, for which a faculty title is appropriate. Criteria for appointment at advanced rank are the same as for promotion. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty. Adjunct faculty would participate in the teaching of medical students, residents, or fellows: For adjunct faculty providing outpatient teaching of medical students, meaningful interaction consists of supervising medical students for at least one month out of the year.

**Instructor - Practice, Assistant Professor - Practice, Associate Professor - Practice, Professor - Practice.** Practice associated faculty appointments may be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated academic service to a TIU, 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.

**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.

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

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

**The Department of Neurological Surgery requires the following for -Practice no salary appointments:**

1. ABNS board certified or eligible
2. Hospital Appointment at Ohio State University Hospital and Columbus Children's Hospital
3. Evidence of commitment to teaching (Giving lectures occasionally, serving as a mentor for residents on a research project or clinical paper that entails interaction with residents, clinical teaching rounds with the residents and students on a basis, and surgical mentoring of residents)
4. E-mail address and internet access in order to facilitate resident assessment with using internet based E-value system.
5. Associated Faculty appointments may be for up to three years, with faculty evaluated annually by the Chairman and reappointments are at the Chairman's discretion.
6. Failure to achieve 1-5 above may be cause for 6-month probationary period after which dismissal may occur if 1-5 are not met
7. If dismissed, or not reappointed the applicant cannot reapply for a period of 2 years.
8. For individuals seeking appointments, a 6-month temporary time period will be instituted to evaluate compliance with 1-5.

*These guidelines will be reviewed annually.*

## **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 chair outlining academic performance and citizenship. The department chair will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-05-04](#), emeritus status will not be considered.

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

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

## **6. COURTESY APPOINTMENT FOR FACULTY**

A no-salary appointment for a University faculty member from another department is considered a Courtesy appointment. An individual with an appointment in one department may request a Courtesy appointment in this department when that faculty member's scholarly and academic activity overlaps significantly with the discipline represented by the second department. Such appointments must be made in the same faculty, using the same title, as that offered in the primary department. Courtesy appointments are warranted only if they are accompanied by substantial involvement in the academic and scholarly work of the Department.

## **B. PROCEDURES**

See the [Faculty 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 all tenure-track positions. Exceptions to this policy pertaining to tenure-track faculty must be approved in advance by the college and the Office of Academic Affairs.

Searches for tenure-track faculty proceed as follows:

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

The department chair appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search as well as other fields within the department.

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

The search committee:

- 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.
- Develops a search announcement for internal posting in the University Personnel Postings through the [Office of Human Resources](#) and external advertising, subject to the department chair'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.
- 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).

- Screens applications and letters of recommendation and presents its findings to the Department Chair.

Virtual or on-campus interviews with candidates are arranged by the search committee chair. Interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students or residents, where appropriate; the Department Chair; and the Dean or designee. In addition, it is recommended that all candidates make a presentation to the faculty, students and/or residents on their scholarly activity. All candidates interviewing for a particular position must follow the same interview format and relevant accommodations for disability/impairment should be provided.

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

If the offer involves senior rank, (Associate Professor or above), the eligible faculty members must vote on the appointment. If the offer may involve prior service credit, the eligible faculty members also vote on the appropriateness of such credit. 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.

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 department will therefore be cautious in making such appointments and vigilant in assuring that appointees seek residency status promptly and diligently.

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

## **2. CLINICAL FACULTY**

Searches for initial appointments in the Clinical faculty should follow the same procedures as those utilized by the Department and the College of Medicine for Tenure-track faculty, with the exception that the candidate's presentation during the virtual or on-campus interview may be based on clinical/professional practice rather than scholarly activity. A national search is required to ensure a diverse pool of highly qualified candidates for all clinical faculty positions. Requests for exemption from the national search requirement must be approved by the dean in advance.

## **3. RESEARCH FACULTY**

Searches for initial appointments to the Research faculty should follow the same procedures as those utilized by the Department and the College of Medicine for Tenure-track faculty, with the exception that the candidate is not required to make a presentation during the virtual/on-campus interview. Requests for exemption from the national search requirement must be approved by the dean.

#### **4. ASSOCIATED FACULTY**

The appointment, review, and reappointment of all compensated associated faculty are decided by the department chair.

Initial appointments to a paid position on the Associated faculty should follow the same procedures as those utilized by the Department and the College of Medicine for Tenure-track faculty, with the exception that a national search is not required.

Appointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department. The proposal is considered at a faculty meeting and if approved by the faculty, the department chair extends an offer. No formal search process is required.

Associated appointments are generally made for up to 3 years unless a shorter period is appropriate to the circumstances. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Adjunct appointments may be renewed only when the uncompensated academic service for which the appointment was made continues. Visiting appointments are limited to three consecutive years. Lecturer appointments are made on an annual basis.

#### **5. COURTESY APPOINTMENT FOR FACULTY**

Any department faculty member may propose a 0% FTE (courtesy) appointment for a faculty member from another Ohio State University department. A proposal that describes the uncompensated academic service to this department justifying the appointment is considered at a faculty meeting. If the proposal is approved by the faculty, the department chair extends an offer of appointment. The department chair must review all courtesy appointments every three years to determine whether they continue to be justified, may take recommendations for nonrenewal from the faculty and must conduct a vote at a meeting.

#### **6. TRANSFER FROM THE TENURE-TRACK**

Transfers from the tenure track should be considered the exception rather than the norm and are permitted only under the strict guidelines detailed in the paragraphs below, per University Rules [3335-7-09](#) and [3335-7-10](#). Furthermore, transfer of an individual with more limited expectations for scholarship may not be used as mechanism for retaining underperforming faculty members. An engaged, committed, productive and diverse faculty is the ultimate goal of all appointments.

##### **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 Chair, Dean, and Executive Vice President and Provost. The first appointment to the new position is probationary; and tenure, or the possibility thereof, is revoked.

The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual's career goals and activities have changed and must explicitly acknowledge the loss of tenure eligibility or the revocation of tenure.

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

##### **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 Chair, Dean, and Executive Vice President and Provost. The first appointment to the new position is probationary; and tenure, or the possibility thereof, is revoked. The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual's career goals and activities have changed and must explicitly acknowledge the loss of tenure eligibility or the revocation of tenure.

**Transfer: Clinical or Research to Tenure-track**

Transfer from the Clinical 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.

**VI. ANNUAL PERFORMANCE AND MERIT REVIEW**

The Department Chair or his or her designee must conduct an annual review of every faculty member, irrespective of rank, in accordance with University Rule [3335-6-03](#) (C), and the Office of Academic Affairs [Policies and Procedures Handbook](#). The only exception to this guideline is that Courtesy appointments do not require formal annual renewal, but continuation of the appointment should reflect ongoing academic involvement as described in the Office of Academic Affairs Policies and Procedures Handbook Volume 1, Chapter 1, Section 2.3.1.7

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

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

The annual performance and merit review of every faculty member is based on expected performance in teaching, research, and service as set forth in the department's policy on Faculty Duties and Responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

Each faculty member must maintain an up to date profile in the university based dossier system and/or keep a recent curriculum vitae on record with the Department. The faculty will complete an annual review form including all accomplishments during the year for discussion with the Chair. The Department Chair will supply each faculty member with a written evaluation of his or her performance, in narrative format. Annual reviews include an opportunity for a face-to-face meeting with the Department Chair.

The department chair is required (per Faculty Rule [3335-3-35](#)) to include a reminder in the annual 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**

The annual performance review of every faculty member requires that all documentation described below, including the two summary documents, be submitted to the department chair no later than the end of the fiscal year.

- 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 *Curriculum Vitae*, which will be made available to all faculty in an accessible place (*all faculty*)
- Updated annual review form including all accomplishments achieved for the year (*all faculty*)

Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.

Other documentation for the purposes of determining merit salary increases will be the same as that for considerations of promotion and/or tenure.

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

## **B. PROBATIONARY TENURE-TRACK FACULTY**

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

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

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

### **1. FOURTH YEAR REVIEW**

Each faculty member in the fourth year of probationary service must undergo a review utilizing the same process as the review for tenure and promotion, with two exceptions: external letters of evaluation will not be solicited, and the dean, not the department chair, makes the final decision regarding renewal or nonrenewal of the probationary appointment. The objective of this review will be to determine if adequate progress towards the achievement of promotion and tenure is being made by the candidate.

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

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

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

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

In all cases, the Dean independently evaluates all faculty in their fourth year of probationary appointment and will provide the Department Chair with a written evaluation of the candidate's progress.

## **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 Chair or her/his designee. In the case of a designee, the designee submits a written performance review to the Department Chair along with comments on the faculty member's progress toward promotion. The Department Chair or designee conducts an independent assessment; meets with the faculty member to discuss their performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the Department Chair or their designee, who meets with the faculty member to discuss their performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence and ongoing outcomes in the discovery and dissemination of new knowledge relevant to the mission of the Department, as demonstrated by ongoing national and international recognition of their scholarship; ongoing excellence in teaching, mentoring students or junior faculty, and ongoing outstanding service to the Department, the university, the community and their profession, including their support for the mentoring and professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with

colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The Department Chair or their 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 nonprobationary faculty is identical to that for tenure-track probationary and tenured faculty respectively. A subcommittee of the eligible faculty may provide a written review if asked by the chair or designee. Accountability for the annual review process resides with the Department Chair.

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

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

#### **E. ANNUAL REVIEW PROCEDURES - RESEARCH FACULTY**

The annual performance and merit review process for research probationary and nonprobationary faculty is identical to that for tenure-track probationary and tenured faculty respectively.

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

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

#### **F. ANNUAL REVIEW PROCEDURES - ASSOCIATED FACULTY**

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

recommendation on renewal of the appointment is final. If the recommendation is to renew, the Department Chair may extend a multiple year appointment.

Compensated associated faculty members on a multiple year appointment (or hired annually for multiple years) are reviewed annually by the Department Chair or designee. The Department Chair or designee prepares a written evaluation and meets with the faculty member to discuss their performance, future plans, and goals. The Department Chair will decide whether or not to reappoint. The Department head's recommendation on reappointment is final.

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

## **G. SALARY RECOMMENDATIONS**

Merit salary increases and other rewards made by a Department must be made consistent with its Appointments, Promotion and Tenure document and other relevant policies, procedures, practices, and standards established by: (1) the [College of Medicine](#), (2) the [Rules of the University Faculty](#), (3) the Office of Academic Affairs [Policies and Procedures Handbook](#), and (4) the [Office of Human Resources](#), and the FGP Compensation Plan (if applicable).

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

In formulating salary recommendations, the Department Chair will compare the faculty member's performance to the expectations and to those recorded in the relevant Appointments, Promotion and Tenure document, and then determine an appropriate level of merit salary increase (if any) and considers market and internal equity issues as appropriate. Other rewards will be determined in a similar manner.

There is a separate FGP supplemental pay policy relating to clinical activity for faculty in the Faculty Group Practice.

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

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

## **VII. PROMOTION AND TENURE, AND PROMOTION REVIEWS**

Faculty Rule [3335-6-02](#) provides the following context for promotion and tenure and promotion reviews:

*In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the College of Medicine diversifies and places new emphasis on interdisciplinary endeavors and program development, instances*

*will arise in which the proper work of a faculty member may depart from established academic patterns, especially with regard to awarding tenure. Thus, care must be exercised to apply criteria flexibly, but without compromise in requiring the essential qualifications for promotion. Insistence upon this high standard for faculty is necessary for the maintenance and enhancement of the University as an institution dedicated to the discovery and transmission of knowledge.*

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

## **A. CRITERIA AND DOCUMENTATION THAT SUPPORT PROMOTION**

### **1. PROMOTION TO ASSOCIATE PROFESSOR (TENURE-TRACK)**

#### **a. WITH TENURE**

Tenure is not awarded below the rank of Associate Professor at The Ohio State University.

The awarding of tenure is an acknowledgment of excellence and future potential for preeminence. It requires evidence of consistent achievement throughout the professional life of the faculty member. Promotion to the rank of associate professor with tenure occurs when a faculty member exhibits convincing evidence of excellence in the discovery and dissemination of new knowledge, as demonstrated by a national level of impact and recognition of scholarship. In addition, excellence in teaching and service is required, but alone is not sufficient for promotion and awarding of tenure. These three key areas of achievement: scholarship, teaching and service, are individually discussed below.

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, development of innovative programs, theoretical insight, innovative interpretation of an existing body of knowledge, clinical science, public health and community research, implementation science, and diffusion research, among many potential others. While individual circumstances may vary, both the quantity and quality of publications should be considered. Metrics that are useful in assessing a candidate’s record of scholarship include but are not limited to the total number of publications since their appointment as an assistant professor, the number of citations of their publications, the trajectory of the publication and/or citation record, the relative proportion

of first/senior authorships. 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 and of itself demonstrate the impact of research. Impact may be demonstrated through non-traditional metrics. This can include but is not limited to social media penetration, blog subscription, Altmetrics score, non-academic invited presentations, or collaborations that advance the mission of the university or the field, and interviews by reputable national media outlets on scholarly topics, however, this does not in and 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 9 peer-reviewed publications in journals with impact factor >3 since their appointment as an assistant professor. It is expected that the pattern of scholarship will include an increasing proportion of publications as first, senior or corresponding author.

The dossier will require the demonstration of impact, not just the potential for impact. Although review articles may form a portion of the publication list (typically less than 30%), and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion. Considered together, demonstration of impact and a national reputation of an independent program of research is 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, study sections, national invitations to speak, etc.

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

The development of a competitive, innovative and distinctive program of scholarship is also evidenced by acquisition of peer-reviewed, nationally competitive extramural support as a principal investigator, multiple investigator, or co-investigator. Similarly, status as principal investigator of a project or a program grant is an acceptable criterion for extramural funding.

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 NIH (or comparable) funding as a principal investigator (PI) on an R01 or as one of several program directors or principal investigators on a large NIH grant (multiple-PD/PI) (*i.e.*, multicenter R01 or equivalent such as a project on a P01, U54), or equivalent funding from the National Science Foundation (NSF) or have obtained a mid-career K award or other comparable funding. They should ideally have demonstrated sustainability of their research program by renewal of the NIH award and/or by garnering a second distinct NIH grant and/or another nationally competitive, peer reviewed grants. The latter may include support from prominent national charitable foundations (*e.g.*, American Heart Association, American Diabetes Association, American Cancer Society, the Lupus Foundation, the March of Dimes, etc.), a major industry grant, or other federal entities such as the Centers for Disease Control and Prevention, Department of Defense and the National Science Foundation.

As noted, faculty members are encouraged to collaborate with other investigators and are encouraged to meet the requirement for extramural support for their research as a one of several program directors or principal investigators on network-type or center grants (multiple-PD/PI) or, in some circumstances, by serving as a co-investigator on multiple NIH grants. For clinicians, sustained funding through pharmaceutical or instrumentation companies for investigator-initiated proposals is acceptable. Similarly, faculty members who generate support for their research programs through creation of patents that generate licensing income or spin-off companies which meet the equivalent criteria of extramural funding.

The Department and the College of Medicine acknowledge that there may be situations in which a faculty member develops a productive, nationally renowned program of scholarship without having obtained nationally competitive peer reviewed funding. Such a situation is anticipated to be exceedingly infrequent, however.

The number of publications required for awarding of promotion and tenure should be sufficient to persuasively characterize faculty members' influence in discovery of new knowledge in their fields. Thus, both quality and quantity are important considerations. Publication as first or senior author in the field's highest impact factor journals is an important variable that converges with other factors such as the extent of external funding, invited lectures, invited manuscripts, editorial boards, peer-review panels, and external letters of evaluation in the decision to promote and award tenure. 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 Ohio State University. It should be appreciated that scholarship exceeding the specified range below is not a guarantee of a positive tenure or promotion decision, especially if it occurs in isolation or in the context of poor performance in other areas.

Entrepreneurship is a special form of scholarship valued by the Department and the College of Medicine. Entrepreneurship includes, but may not be limited to, invention disclosures, software development, materials transfers (e.g., novel plasmids, transgenic animals, cell lines, antibodies, and similar reagents), technology commercialization, patent and copyrights, formation of startup companies and licensing and option agreements. Inasmuch as there are no expressly defined metrics for entrepreneurship, the Department will analyze these flexibly. Generally, invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding, patents will be considered equivalent to an original peer-reviewed manuscript, licensing activities that generate revenues will be considered equivalent to extramural grant awards, and materials transfer activities will 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:**

The following will constitute accomplishments characteristic of individuals worthy of promotion to associate professor with tenure in the area of teaching:

#### **Teaching (M.D.)**

Evidence of persistent commitment to teaching and ongoing development of teaching abilities, as reflected by:

1. Consistently high-level evaluations of teaching performance by students, residents, peers.
2. Departmental teaching awards as voted by medical students and/or residents.
3. Demonstrate favorable impact on teaching and training programs, including curricular innovation, new teaching modalities or methods of evaluating training, and program or course development.
4. Development of impactful, innovative program that integrate teaching, research and patient care.

5. Participation in the publication of material of an instructional nature or evidence of production of other forms of teaching material (e.g. videotape, computer programs, etc.)
6. Participation in teaching for local, regional and national professional organizations.
7. Participation in the development of educational materials for local, regional and national professional organizations.

*(To reach the associate professor level the faculty member is expected to have at least three of these accomplishments, including #1 or #2.)*

### **Teaching (Ph.D.)**

Evidence of persistent commitment to teaching and ongoing development of teaching abilities, as reflected by:

1. Evidence of participation in the educational processes within the division, department or college
  - a) course work: organization and oversight of approved academic courses/lectures provided for approved academic courses
  - b) documented training of individuals or groups in research skills or techniques
    - technicians and laboratory assistants
    - graduate students
    - postdoctoral fellows
    - medical research fellows
    - professional colleagues
2. Evidence of teaching excellence
  - a) consistently high-level evaluations of teaching performance by students and peers.
  - b) divisional, departmental or collegiate teaching awards
3. Development of new educational programs for teaching within the institution.
4. Publication of instructional materials (e.g. videotapes, computer programs, etc.).
5. Participation of teaching for local, regional or national organizations.
6. Development of educational materials for local, regional or national organizations.

*(To reach the associate professor level the faculty member is expected to achieve accomplishment in #1 and #2, at a minimum.)*

### **Scholarship and Research (M.D.)**

Evidence of ongoing, continuous development of research ability and reputation, as reflected by the following:

1. 28 publications in peer-reviewed journals as first or last author independent of the impact factor of the journal. An individual H-index of 15 or above is expected.
2. 20 publications in journals with an impact factor of 3 or higher (9 since Assistant Professor).
3. Presentations of scholarly work at local, regional, national or international forums.
4. Funded grant from national sources at monetary levels indicative of major research significance.
5. Development of an area of research or scholarship with growing national recognition.
6. Service on editorial board of journal(s).
7. Publications of book(s).
8. Publication of chapter(s) in books.

*(To reach the associate professor level the faculty member is expected to achieve 7 out of 8 of these accomplishments)*

### **Scholarship and Research (Ph.D.)**

Evidence of ongoing, continuous development of research ability and reputation as reflected by the following:

1. 28 publications in peer-reviewed journals as first or last author independent of the impact factor of the journal. An individual H-index of 15 or above is expected.
2. 20 publications in journals with an impact factor of 3 or higher (9 since Assistant Professor).
3. Presentation of scholarly work at multiple local, regional, national or international forums.
4. Peer-reviewed research funding from national sources at monetary levels indicative of competitive research significance.
  - a. Primary investigator on at least one grant with significant research support.
  - b. Significant contributions of effort as co-investigator on multiple grants may be considered.
5. Development of a growing national reputation for research in one or more areas of importance to the scientific discipline.
6. Service on the editorial board of professional journal(s).
7. Service on grant review boards for local, regional, national or international funding organizations.
8. Retention as consultant by professional or commercial organizations.
9. Publication of books or book chapters.

*(To reach the associate professor level the faculty member is expected to achieve 8 out of 9 of these accomplishments.)*

#### **Service (M.D.)**

The following will constitute accomplishments characteristic of individuals worthy of promotion to associate professor with tenure in the area of SERVICE:

1. Completion of specialty Board certification.
2. Maintenance of recertification.
3. Evidence of a high-level of clinical competence.
4. Active participation in divisional, Departmental, College and/or University committee functions.
5. Participation in committee activities for local, regional and national organizations.
6. Elected office in local, regional or national professional organizations.
7. Other meritorious community service activities
8. An attitude which reflects professional ethical conduct consistent with the “Statement of Professional Ethics” of the American Association of University Professors(see Appendix B).
8. Maintenance of appropriate licensure and medical staff appointment(s).
9. Participation in the development of new programs for the advancement of medical practice or patient care.
10. Journal editorships, reviewer for journals or other publications.

*(To reach the associate professor level, the faculty member is expected to achieve accomplishments #1, #3, #4, #8 and #9 at a minimum.)*

#### **Service (Ph.D.)**

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

1. Direction/operation of a service laboratory for division, department, hospital, college, university or professional organization.
2. Active participation in divisional, departmental, college or university committee functions.
3. Active participation in committee functions for local, regional or national organizations.
4. Elected office in local, regional or national professional organizations.
5. Other meritorious community service activities.

6. An attitude which reflects professional ethical conduct consistent with the “Statement of Professional Ethics” of the American Association of University Professors (see Appendix B).  
*(To reach the associate professor level the faculty member is expected to achieve accomplishments #2 and #6, at a minimum.)*

#### **b. ASSOCIATE PROFESSOR IN ADVANCE OF TENURE**

Criteria for promotion to Associate Professor in advance of tenure will require a level and pattern of achievement that demonstrates that the candidate is making significant progress toward tenure, but has not yet achieved all the requisite criteria for promotion with tenure. The department may propose a faculty member for promotion consideration (in advance of tenure) in cases where a faculty member is making progress but has not achieved the necessary requirements for tenure. In addition faculty committees (at the Department or College) or administrators (Chair or Dean) may determine that a faculty member’s accomplishments do not merit tenure and may recommend promotion in advance of tenure even if a faculty member has requested promotion with tenure. Promotion in advance of tenure may only occur if a candidate is not in the 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. **OAA will not support promotion in advance of tenure for faculty with a 6-year probationary period.**

Scholarship: Qualitative indicators consistent with promotion without tenure might include an advancing record of scholarly excellence that demonstrates substantial progress toward meeting the scholarship expectations for the award of tenure. This may be demonstrated by publications in high quality peer-reviewed journals, evidence of emerging external recognition, and progress toward an extramurally supported research program. An example might be clear evidence of escalating productivity late in the interval of probationary status, indicating acquisition of momentum that will propel the candidate toward the sustained record of productivity required for promotion. Publications in journals of lesser impact that reflect the preliminary stages of development of a research career, or a predominance of publications in which the candidate is not first or senior author are also examples. Criteria for a promising trajectory in extramural funding might be reflected by serving as a PI or multiple-PD/PI on a new NIH grant award, as co-investigator on several NIH projects, as PI on local extramural grants, or as local principal investigator for multi-center clinical trials may also meet the requirement of extramural funding (moved from the promotion w/tenure section). Evidence of an emerging national recognition might include invitations to lecture at statewide or regional institutions or scientific meetings. Although the quality of scholarship is of the utmost importance, quantity is also important, and the record of accomplishment must demonstrate discovery of a substantial body of important, new knowledge.

Teaching and Mentoring: Indicators of teaching consistent with promotion without tenure might include a record of teaching excellence involving a single group of trainees, a clear trend of improving teaching evaluations, or departmental teaching awards. Teaching excellence may also be demonstrated through evaluations for presentations at other academic institutions, scientific or professional societies, or other hospitals.

Service: Indicators of service consistent with promotion without tenure might include an insufficient volume of outstanding service; or service as a member or chair of committees within the Department or College, but the absence of significant service roles at the national level. This might also include activities as an ad hoc reviewer for journals, or service on the advisory board for local organizations.

Below provides a summary of expected benchmarks for promotion to associate professor without tenure.

## **Summary of representative metrics used to assess suitability for promotion to the rank of Associate Professor without tenure**

For non-clinician faculty and/or clinician faculty below 50% cFTE, NIH funding is required for promotion as listed in the grants category below. For clinician faculty with a cFTE greater than 50%, there should be either evidence of co-investigator status in the grant category listed below as a prerequisite to tenure OR evidence of industry or foundation funding can be accepted.

### ***Peer Review Publications:***

25 publications as first author or senior author. 18 publications in journals with average impact factors of 3 or more. An individual H-index of 13 or above is expected. As a general guideline 7 peer reviewed publications in journals with an impact factor 3 or higher since appointment as an assistant professor.

### ***Grants and patents:***

PI on an R21, R03 OR co-investigator on a R01 plus PI status on a major national grant; OR PI status on multiple national or Pharma grants; OR patent/inventorship; OR an unfunded NIH R01 with a score between the 10<sup>th</sup> and 18<sup>th</sup> percentile for a new investigator, until average pay lines exceed 18<sup>th</sup>ile; OR evidence of industry, philanthropic or foundation funding\*.

### ***Teaching:***

Teaching awards; and consistently positive evaluations or positive lecture evaluations from national audience.

### ***Service and National Role:***

University committees plus: Leadership role in professional society or Ad hoc NIH study section membership or committee work for national society

## **2. PROMOTION TO PROFESSOR (TENURE-TRACK)**

Awarding promotion to the rank of Professor with tenure must be based upon clear and unambiguous evidence that the candidate has a sustained, eminent record of achievement recognized by national leadership and/or 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.

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.

### **Research and Scholarship (M.D. and/or Ph.D.)**

The following will constitute accomplishments characteristic of individuals worthy of promotion to professor with tenure in the area of RESEARCH AND SCHOLARSHIP:

1. 56 publications in peer-reviewed journals first- or last-authored independent of the impact factor of the journal. An individual H-index of 27 or above is expected.
2. 40 publications of major significance in prestigious journals with an impact factor of 3 or higher. As a general guideline 28 peer reviewed publications in journals with and impact factor 3 or higher since appointment as an Associate Professor.

3. Presentations of scholarly work at national or international meetings.
4. Multiple funded grants as principal investigator from national sources at levels indicating major research significance OR evidence of industry or foundation funding. Extramural funding since promotion to associate professor is required.
5. National recognition as an expert in a particular area of research or scholarship.
6. Editorship of journal(s).
7. Lead authorship of books.
8. Lead authorship of chapters in books.

*(To reach the professor level, the faculty member is expected to achieve accomplishment 7 out of 8 of these accomplishments).*

### **Teaching and Mentoring:**

The following will constitute accomplishments characteristic of individuals worthy of promotion to professor with tenure in the area of TEACHING:

#### **Teaching (M.D.)**

1. Consistently high-level evaluation of teaching performance by students, residents and peers.
2. Evidence of participation in the educational process within the department or college.
3. College of Medicine teaching awards as voted by medical students and/or residents.
4. Leadership role in the development of new educational programs for teaching students and residents at Ohio State.
5. Leadership role in publication of material of an instructional nature or in production of other forms of teaching material.
6. Development of innovative teaching techniques and vehicles.
7. Leadership role in teaching for local and regional professional organizations. Participation in teaching for national professional organizations.
8. Leadership role in development of educational materials for local and regional professional organizations. Participation in the development of educational materials for national organizations.

*(To reach professor level, the faculty member is expected to achieve at least three of these accomplishments, including #1 and #2.)*

#### **Teaching (Ph.D.)**

Evidence of persistent commitment to teaching excellence and ongoing exercise of teaching abilities, as reflected by:

1. Evidence of participation in the educational processes within the division, department or college
  - a) course work: organization and oversight of approved academic courses/lectures provided for approved academic courses
  - b) documented training of individuals or groups in research skills or techniques such as: technicians and laboratory assistants, graduate students, postdoctoral, fellows, medical research fellows, professional colleagues
2. Evidence of teaching excellence
  - a) consistently high level evaluations of teaching performance by students and peers
  - b) divisional, departmental or collegiate teaching awards
3. Leadership in development of new educational programs for teaching within the institution.
4. Development of innovative teaching techniques or vehicles.
5. Leadership in production of instructional materials (e.g. videotapes, computer programs, etc.).
6. Participation in teaching for local, regional or national organizations.
7. Leadership in development of educational materials for local, regional or national organizations.

*(To reach professor level, the faculty member is expected to achieve at least three of these accomplishments, including accomplishments #1 and #2.)*

### **Service**

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

#### **Service (M.D.)**

1. Recognized as a leader in an area of clinical expertise. Director of a service or a section.
2. Chairmanship of Department, College or University committee.
3. Leadership role in committee activities for local, regional and national organizations.
4. Elected office in national professional organization(s).
5. Prominent role in community service activities.
6. Leadership role in the Department.
7. An attitude which reflects professional ethical conduct consistent with the “Statement of Professional Ethics” of the American Association of University Professors.
8. Maintenance of appropriate licensure and medical staff appointment(s).
9. Leadership role in the development of new programs for clinical care.

*(To reach the professor level, the faculty member is expected to achieve several of these accomplishments including #7 and #8).*

#### **Service (Ph.D.)**

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

1. Direction/operation of a service laboratory for division, department, hospital, college, university or professional organization.
2. Chairman or divisional, departmental, college or university committee functions.
3. Leadership role in committee functions for local, regional or national organizations.
4. Elected office in local, regional or national professional organizations.
5. Prominent role in meritorious community service activities.
6. Leadership role in the department.
7. An attitude which reflects professional ethical conduct consistent with the “Statement of Professional Ethics” of the American Association of University Professors (see Appendix B).

*(To reach the professor level, the faculty member is expected to achieve several of these accomplishments including #7).*

### **3. PROMOTION OF CLINICAL FACULTY**

Clinical faculty members in general have a greater responsibility for clinical teaching and patient care than individuals in the Tenure-track. Clinical faculty members are not eligible for tenure. The criteria in the categories of teaching and service are, for the most part, very similar to those for the Tenure-track for each faculty rank, although there is greater emphasis on teaching, service and patient care for clinical faculty, and less emphasis on traditional scholarship.

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

Although there is no expectation of external grant funding for promotion of Clinical faculty, many clinical faculty members will undoubtedly enhance their career and the mission of the Department, University and College of Medicine by acquisition of external funding in support of their program of scholarship.

Promotion of Clinical faculty for individuals with heavy clinical responsibility (but without national recognition) must be based upon clear and convincing evidence that the candidate has demonstrated a level of excellence and a record of impact beyond the usual faculty member's scope or sphere of influence. **Promotion will not be granted purely on the basis of length of service to the institution or satisfactory job performance.**

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

#### **Promotion to Associate Professor - Clinician Educator Pathway**

A faculty member must show convincing evidence that he/she has developed a national level of impact and recognition since being appointed to the rank of assistant professor.

#### **Teaching and Mentoring**

A distinctive record of teaching and mentoring excellence is required for promotion. Excellence is demonstrated by:

1. Consistently high-level evaluations of teaching performance by students, residents, fellows and peers.
2. Departmental teaching awards as voted by medical students and/or residents.
3. Demonstrate favorable impact on teaching and training programs, including curriculum innovation, new teaching modalities or methods of evaluating teaching, and program or course development.
4. Participation in teaching for local, regional and national professional organizations.
5. Participation in the development of educational materials for local, regional and national professional organizations.
6. Development of impactful, innovative programs that integrate teaching, research and patient care.  
*(To reach the level of associate professor in the Clinician Educator Pathway, the faculty member is expected to have at least three of these accomplishments, including #1 or #2.)*

#### **Service**

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

1. Completion of specialty Board certification.
2. Maintenance of recertification.
3. Evidence of a high-level of clinical competence.
4. Active participation in Departmental, College and/or University committees and affirmative action or mentoring activities.
5. Participation in committee activities for local, regional and national organizations.
6. Elected office in local, regional or national professional organizations.
7. Other meritorious community service activities
8. An attitude which reflects professional ethical conduct consistent with the "Statement of Professional Ethics" of the American Association of University Professors (see Appendix B)
9. Maintenance of appropriate licensure and medical staff appointment(s).

10. Participation in the development of new programs for the advancement of medical practice or patient care

*(To reach the level of associate professor in the Clinician Educator Pathway, the faculty member is expected to achieve 9 out of 10 accomplishments.)*

### **Scholarship**

The specific accomplishments which are to be used to measure suitability for promotion will be the same in the areas of Teaching and Service as are described in the sections on promotion of tenure-track faculty members.

The following will constitute accomplishments characteristic of individuals worthy of promotion to associate professor in the clinician educator pathway in the area of Scholarship (these are in addition to the requirements for Teaching and Service as referenced in the previous paragraph):

1. 16 publications in peer-reviewed journals first- or last-authored independent of the impact factor of the journal. An individual H-index of 11 or above is expected.
2. 12 publications with Impact Factor of 3 or more (at least 6 expected since Assistant Professor).
3. Presentations of scholarly work at local, regional, national and international meetings.
4. Development, publication and/or presentation of scholarly work in other formats (e.g., videotapes, CD ROMs, etc.)
5. Evidence that activities or innovations have contributed to a change in the scope and the nature of practice in his or her own discipline.
6. Development of a new and innovate approach to the management of a challenging clinical problem that becomes generalizable and a standard of practice.
7. Referral patterns from beyond the typical distribution for the faculty member's discipline, demonstrating a reputation external to our organization as "best in class".
8. Referral of the most complex and sickest patients, identifying clinical skills beyond peers.
9. Evidence supporting excellence in clinical performance, including clinical measures such as quality indicators, mortality metrics, complication rates, patient satisfaction rates.
10. Contribution to the medical literature and demonstration of knowledge and ability to build on existing literature in relevant domains.
11. Demonstration of dissemination of peer reviewed data and expertise in the form of Grand Rounds, clinical practice guideline, seminars, podcasts, websites, and small group activities with peer reviewed data and internal benchmarking.
12. Demonstration of collaboration with researchers and educators in the Department and beyond.

*(To reach the level of associate professor in the Clinician Educator Pathway, the faculty member is expected to achieve 11 out of 12 of these accomplishments.)*

### **Promotion to Professor – Clinician Educator Pathway**

The awarding of promotion to the rank of Professor in the Clinician-Educator pathway must be based upon clear and convincing evidence that the candidate has developed a national leadership role or an international level of impact and recognition as a teacher since being appointed to the rank of Associate Professor.

The general criteria for promotion – scholarship, teaching and service – are the same as those outlined for promotion to the level of Associate Professor as outlined above, except that the indicators are more advanced and sustained in quantity and quality and importantly, impact.

## **Teaching and Mentoring**

Evidence of persistent commitment to teaching excellence and ongoing exercise of teaching abilities, as reflected by:

1. Consistently high-level evaluation of teaching performance by students, residents and peers.  
Evidence for exemplary teaching includes outstanding student and peer evaluations.
2. Evidence of participation in the educational process within the department or college making new, unique and impactful contributions to the teaching mission.
3. College of Medicine teaching awards as voted by medical students and/or residents.
4. Leadership role in the development of new educational programs for teaching students and residents at Ohio State and/or development of teaching methods that are adopted by other institutions.
5. Leadership role in publication of material of an instructional nature or in production of other forms of teaching material.
6. Development of innovative teaching techniques and vehicles.
7. Leadership role in teaching for local and regional professional organizations. Participation in teaching for national professional organizations.
8. Leadership role in development of educational materials for local and regional professional organizations. Participation in the development of educational materials for national organizations.
9. Participation in specialty boards, such as Resident Review Committees, Accreditation Council for Graduate Medical Education, etc.

*(To reach level of professor in the Clinician Educator Pathway, the faculty member is expected to achieve at least three of these accomplishments, including #1 and #2.)*

Mentorship of junior faculty may also demonstrate teaching excellence. It is presumed that this will take the form of a primary mentoring relationship, and not just ad hoc career coaching. Candidates should evidence mentoring relationships by providing mentees' evaluations.

## **Service**

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

1. Recognized as a leader in an area of clinical expertise. Director of a service or a section.
2. Chairmanship of Department, College or University committee.
3. Leadership role in committee activities for local, regional and national organizations.
4. Elected office in national professional organization(s).
5. Prominent role in community service activities.
6. Leadership role in the Department.
7. An attitude which reflects professional ethical conduct consistent with the "Statement of Professional Ethics" of the American Association of University Professors (see Appendix B)
8. Maintenance of appropriate licensure and medical staff appointment(s).
9. Leadership role in the development of new programs for clinical care.

*(To reach the level of professor in the Clinician Educator Pathway, the faculty member is expected to achieve 8 out of 9 of these accomplishments including #7 and #8).*

## **Scholarship and Research**

The following will constitute accomplishments characteristic of individuals worthy of promotion to professor on the Clinician Educator Pathway in the area of research and scholarship:

1. 40 publications as first- or last- authorship in peer-reviewed journals independent of the impact factor of the journal. An individual H-index of 22 or above is expected

2. 28 publications in prestigious journals with an impact factor of 3 or higher (at least 16 since Associate Professor).
  3. Scholarship review articles and case reports.
  4. Presentations of scholarly work at national and international meetings.
  5. Participation in basic research projects or in clinical trials.
  6. Development, publications and/or presentation of scholarly work in other formats (e.g., videotapes, CD-ROMs, etc.) which has gained national recognition.
  7. Entrepreneurship and inventorship reflect scholarly activity.
- (To reach the level of professor in the Clinician Educator Pathway, the faculty member is expected to achieve 6 out of 7 of these accomplishments).*

### **Promotion to Associate Professor - Clinician Scholar Pathway**

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

### **Teaching and Mentoring**

A distinctive record of teaching and mentoring excellence is required for promotion. Excellence is demonstrated by positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching awards and other honors are also supportive of teaching excellence. Teaching excellence must be demonstrated through evaluations and peer feedback based on presentations at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, and the like. Active participation as a mentor in training grants such as NIH T32 or K-awards and other such mentored programs is very highly valued as a teaching and mentoring activity.

### **Scholarship**

The candidate must demonstrate contributions to scholarship as reflected by primary or senior authorship of peer-reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational or clinical research projects or in clinical trials. For example, 25 peer review publications in journals with an average impact factor of 2.5 or 15 publications in journals with an average impact factor of 4 would satisfy this threshold. The recognition of the publication by peers can be adjudged by calculation of the H-index. Here 15 publications cited at least 15 times would be a reasonable minimum threshold. Again, participation in collaborative, multidisciplinary research and team science is highly valued even though it may result in “middle” authorship, as long as the faculty member’s unique contribution can be discerned. Clinical faculty should have acquired external funding in support of their program of scholarship. Candidates should have a record of being investigators in foundation, industry or NIH studies. Entrepreneurship and inventorship are also evidence of scholarly activity, as described in Criteria for promotion to Associate Professor with tenure above, and will be viewed most favorably.

### **Service**

Service is broadly defined to include administrative service to the University, exemplary patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member’s discipline, and the provision of professional expertise to public and private entities beyond the University. Evidence of service can include membership on department, COM, hospital, and/or University committees and mentoring activities.

### **Promotion to Professor - Clinician Scholar Pathway**

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

### **Teaching and Mentoring**

A record of teaching excellence as an Associate Professor must continue to justify promotion to the rank of Professor. The faculty member should have made unique and impactful contributions to the teaching mission as an Associate Professor. Active participation as a mentor in training grants such as NIH T32 or K-awards and other such mentored programs is highly valued as a teaching and mentoring activity.

Mentorship of junior faculty may also demonstrate teaching excellence. It is presumed that this will take the form of a primary mentoring relationship, and not just ad hoc career coaching. Candidates should evidence mentoring relationships by providing mentees' evaluations.

### **Service**

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

### **Scholarship**

The candidate must demonstrate contributions to scholarship as reflected by primary or senior authorship of peer-reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational or clinical research projects or in clinical trials. For example, 40 peer review publications in journals with an average impact factor of 2.5 or 25 publications in journals with an average impact factor of 4 would satisfy this threshold. The recognition of the publication by peers can be adjudged by calculation of the H-index. Here 18 publications cited at least 18 times each would be a reasonable minimum threshold. Clinical faculty members should ideally have been co-investigators on multiple NIH, Pharma, or major national clinical trials. Entrepreneurship and inventorship are also evidence of scholarly activity, will be viewed most favorably.

### **Promotion to Associate Professor - Clinical Excellence Pathway**

In the circumstance where individuals are assigned major responsibilities (90% time or greater) for clinical care and clinical administrative activities, faculty members may seek promotion for excellence in activities categorized as "scholarship of practice" (or "scholarship of application"). The clinical time commitment of these individuals may not allow the achievement of personal national recognition for their accomplishments; however, their unique contributions serve to enhance the national recognition of the Wexner Medical Center or their assigned hospital. For these individuals, their contribution to the regional and national recognition of the Wexner Medical Center may serve as a proxy for individual national recognition.

Metrics should include consistent rankings among the Nation's elite in the Castle-Connolly or U.S. News Physicians Survey, or similar (Best Doctors, Inc). At a minimum they should demonstrate 5 of the 7 items below:

- a) Referral patterns from beyond the typical distribution (demonstrates a reputation external to our organization as "best in class").
- b) Referral of the most complex and sickest patients (identifies those physicians with clinical skills beyond their peers).

- c) Multiple lines of evidence supporting excellence in clinical performance, including clinical measures such as quality indicators, mortality metrics, complication rates, and patient satisfaction rates where performance measures can easily be internally and externally benchmarked for comparison.
- d) Establishment of quality improvements or systems-based changes that result in enhancement of the care provided to OSU Medical Center patients.
- e) A sustained record of exemplary clinical leadership and unique program development within the institution.
- f) Demonstration of dissemination of peer reviewed data and expertise in the form of Grand Rounds, clinical practice guidelines, seminars, podcasts, websites, small group activities with peer reviewed data and internal benchmarking.
- g) Demonstration of collaboration with researchers and educators in the Department and beyond.

Patient care and the scholarship of practice are the overwhelming areas of emphasis for individuals in the Clinical Excellence Pathway.

Examples of the scholarship of practice are as follows:

- Evidence that activities or innovations of an individual faculty member have contributed to a change in the scope and the nature of neurosurgical practice.
- The development of new and innovative approaches to the clinical management of challenging clinical problems.

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

The awarding of promotion to the rank of Professor in the Clinical Excellence Pathway must be based upon clear and convincing evidence that that the candidate's work has developed a national impact and recognition for clinical excellence and innovation since being appointed to the rank of Associate Professor.

Examples of accomplishments worthy of promotion to professor in the Clinical Excellence Pathway are as follows:

- Consistent rankings among the Nation's elite in the Castle and Connelly or U.S. News Physicians Survey or similar (Best Doctors, Inc)
- Receiving patient referrals from throughout the United States
- National awards for clinical excellence and innovation

#### **4. PROMOTION OF RESEARCH FACULTY**

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

##### **Promotion to Research Associate Professor**

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

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

It is expected that the successful candidate will have a sustained record of 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.

## **5. PROMOTION OF ASSOCIATED FACULTY**

### **Compensated Associated Faculty ( i.e. Practice)**

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

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

For uncompensated associated faculty, promotion should reflect contributions to the Department or College that exceed the activities that represent the basis for their faculty appointment, in most cases related to the educational mission. At the Associate Professor level this could include service on 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.

## **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](#).

### **1 TENURE-TRACK, CLINICAL, AND RESEARCH FACULTY**

#### **a CANDIDATE RESPONSIBILITIES**

Candidates for promotion and tenure or promotion are responsible for submitting a complete, accurate dossier and providing a copy of the APT under which they wish to be reviewed. Candidates are also responsible for reviewing the list of potential external evaluators compiled for their case according to departmental guidelines. Each of these elements is described in detail below.

- **Dossier**

Candidates are responsible following the University guidelines for dossier creation to submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the core dossier outline including, but not limited to, those highlighted on the checklist. 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.

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 non-probationary faculty it is the date of last promotion or the last five years, whichever is less, to present.

The time period for scholarship documentation to be included in the dossier for probationary faculty is the start date to present (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.

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.

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

- Student evaluations of faculty members will be done at the conclusion of each course or educational exercise. These could include individual lecture or course evaluations, and department solicited evaluations of former students. For the basic medical student clerkship, standard evaluation forms developed by the Department Education committee must be used. Someone other than the faculty member being evaluated must obtain evaluations from students in order to assure credibility of the evaluation process. Student evaluations are required.
- MedStar Evaluations
- Resident evaluations of faculty members are required. These will be done on a basis (at least annually) with results shared with the faculty member and placed in the faculty member's departmental file. Resident evaluations are required.
- Peer evaluation is required on a recurring basis for all faculty members. Peer evaluations may include internal, and/or external review of classroom instruction, clinical teaching and course materials such as syllabi, examinations and instructional materials including textbooks. Assessment by observation of classroom and clinical teaching is most useful when done systematically over time and conducted with the specific goal of offering constructive suggestions.
- Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.

- Candidate's self-evaluation: could include a statement of the candidate's approach to and goals for teaching; self-assessment; and description of specific strategies for improvement - past, current, planned.
- Other: could include the success rate of trainees in in-training examinations and in passage of specialty board examinations; success of the candidate's former graduate and post-doctoral students; extent to which pedagogical materials developed by the candidate have been adopted by other faculty here and at other institutions; extent to which the candidate is invited to provide expertise on teaching; teaching awards and national recognition awards.
- Other relevant documentation of teaching as appropriate. This may include an administrator's assessment of the candidate's teaching load, contribution to the teaching mission of the academic unit, and contribution to curriculum development. Evidence of the success of the candidate's former students including professional and graduate students and post-doctoral trainees should be documented.

## **ii. Scholarship/Research**

Scholarship is broadly defined as the discovery and dissemination of new knowledge by research, study and learning. In the College of Medicine, a faculty member's scholarship must be demonstrated to be of high quality, significance and impact. All department faculty members must develop a record of scholarship that is documented by a body of original scholarly work over a period of time. The evidence for scholarship must refer to original, substantive works that are documented achievements. Recognition of scholarly work must also be external to the University, residing in regional, national and/or international intellectual and scientific communities. Evidence of Scholarship/Research may include is not limited to the following:

- Scholarly papers published or accepted for publication to include peer reviewed journal articles, bulletins and technical reports, original books and monographs, edited books, chapters in edited books, editor reviewed journal articles, reviews and abstracts, etc. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- Documentation of grants and contracts received. May include 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.
- Other relevant documentation of research as appropriate e.g. published reviews including publications where one's work is favorably cited, or grants and contract proposals that have been submitted.
- 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, invitations to serve on national review bodies.

## **iii Service**

Service is broadly defined to include administrative service to the Department, exemplary patient care, professional service to neurosurgery and the provision of professional expertise to public and private entities beyond the University.

Evidence of service may include but is not limited to:

- Administrative work for the department, college or university; clinical service in the care of patients, service to the profession such as leadership roles and editorial and reviewing activities; and applications of professional expertise in service to the community. Local, and national recognition for expert service may be evidenced by awards and citations from external organizations.
  - Election or appointment to leadership roles in regional and national organizations may serve as an indicator of the quality of service, and can provide evidence that the candidate's services are sought after rather than volunteered. Depending on the nature of a candidate's service activities, it may be appropriate to obtain written evaluations from those who are in a position to evaluate specific contributions (e.g., the President of a national professional organization).
  - Development of innovative programs, professional consult to industry, government and education, a panel and commission participant.
  - 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.
- **Appointments, Promotion, and Tenure (APT) Document**

Candidates must also submit a copy of the APT document under which they wish to be reviewed. Candidates may submit the 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.

- **External Evaluations**

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

## **b PROMOTION AND TENURE COMMITTEE RESPONSIBILITIES**

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

- Review this document annually and to recommend proposed revisions to the committee and to the faculty.

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

- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A simple majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
- The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
- A tenured or non-probationary 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 chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
  - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
  - **Late Spring:** Suggest names of external evaluators to the department chair.
  - **Summer:** Gather internal evidence of the quality of the candidate’s teaching, scholarship, and service from students and peers, as appropriate, within the department.
  - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with

candidates to assure that needed revisions are made in the dossier before the formal review process begins.

- Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- Establish the meeting(s) of the eligible faculty.
- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- 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. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
- Revise the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- Provide a written evaluation and recommendation to the TIU head in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.

The department chair, college dean, college associate and assistant deans, provost, and president may not be members of the department's Promotion and Tenure Committee. The department chair may attend meetings at which promotion and tenure matters are discussed and may respond to questions, but may not vote.

### **c ELIGIBLE FACULTY RESPONSIBILITIES**

The responsibilities of the members of the eligible faculty are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.
- Faculty must be present for the entire discussion to be eligible to vote.

## **d DEPARTMENT CHAIR RESPONSIBILITIES**

The responsibilities of the department chair are as follows:

- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. (The department must ensure that such questions are asked of all applicants in a non-discriminatory manner.) 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.
- In late Spring Semester, the Department Chair will solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the Chair, and the candidate.
- To solicit an evaluation from a Department chair of any department with which the candidate has a joint appointment.
- To remove any member of the Promotion and Tenure Committee from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review. A conflict of interest exists when a Promotion and Tenure Committee 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, or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from a promotion review of that candidate.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. At the request of the eligible faculty, the department chair will leave the meeting to allow open discussion among the eligible faculty members.
- To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
  - of the recommendations by the eligible faculty and department chair

- of the availability for review of the written evaluations by the eligible faculty and department chair
- of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrants response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To write an evaluation and recommendation to the department chair of a tenure-initiating unit for a joint appointee by the date requested.

## 2 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.

Required documentation for considering promotion of associated faculty:

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

## 3 EXTERNAL EVALUATIONS

External evaluations are obtained for all promotion and/or tenure reviews. As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department chair **Error! Bookmark not defined.**, 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.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This department will only solicit evaluations from professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and or the usefulness of the letters received, at least twice as many letters should be sought as are required, and they should be solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

Templates for the solicitation of external letters of evaluation for Clinical, Research, and Tenure track faculty in the College of Medicine may be found [here](#).

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what, if any, action is warranted (such as 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.

## **VIII. 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.

## **IX. REVIEWS IN THE FINAL YEAR OF PROBATION**

In most instances, a decision to deny promotion and tenure in the penultimate probationary year (11th year for faculty members with significant clinical responsibilities, 6th year for those without significant clinical responsibilities) is considered final. However, in rare instances in which there is substantial new information regarding the candidate's performance that is relevant to the reasons for the original negative decision, a seventh (or twelfth) year review may be conducted. The request for this review must come from the eligible faculty and the department chair, and may not come from the faculty member

themselves. Details of the criteria and procedures for a review in the final year of probation are described in University Rule [3335-6-05](#) (B). If a terminal year review is conducted by the department and the College, it will be made consistent with the department's Appointments, Promotion and Tenure document, the College's Appointments, Promotion and Tenure document, and other relevant policies, procedures, practices, and standards established by: (1) the College, (2) the Rules of the University Faculty, (3) the Office of Academic Affairs, including the Office of Academic Affairs Policies and Procedures Handbook, and (4) the Office of Human Resources.

## **X. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING**

### **1 Student Evaluation of Teaching**

Use of the Student Evaluation of Instruction (SEI) form is required in every course offered in this department. Faculty should choose a day late in the quarter when attendance is likely to be high to distribute the form. A Graduate Teaching Associate, staff member, or other faculty member should administer the evaluation forms to the class and return them to the Office of the University Registrar as instructed. This individual should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation.

### **2 Peer Evaluation of Teaching**

The department chair oversees the department's peer evaluation of teaching process.

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

The responsibilities of the faculty are as follows:

- To review the teaching of probationary tenure-track and clinical faculty, at least once per year during the first two years of service, and during the remainder of the probationary period.
- To review the teaching of tenured Associate Professors and nonprobationary clinical faculty at least once per year.
- To review the teaching of tenured professors and non-probationary clinical professors at least once every four years.
- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [Michael V. Drake Institute for Teaching and Learning](#).

Scheduled peer teaching evaluation (i.e. the first three situations listed above) is comprehensive and includes, in addition to classroom visitation, review of course syllabi, instructional materials, assignments, and exams. Classroom visitation is conducted by two or more faculty attending together and is unannounced. However, at the beginning of the semester, the Committee will request from the faculty member a list of dates on which visitation would be inappropriate because exams are being given, guest speakers are scheduled, etc.

Peer review focuses particularly on aspects of teaching that students are less qualified than faculty to evaluate, such as appropriateness of curricular choices given the goals of the course (e.g., survey as opposed to required major course), implicit and explicit goals of instruction, quality and effectiveness of testing tools, and appropriateness of approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer meets with the candidate to give feedback and also submits a written report to the chair, 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.

As part of its evaluation the faculty reviewer examines copies of the faculty member's SEI summaries from recent years, and where student opinion is mixed to negative, the faculty reviewer attempts to ascertain the reasons. In so doing, faculty reviewers are to bear in mind that they have observed only one or a few classes out of the quarter, and moreover have a very different level of knowledge compared to students. Consequently, their assessment may differ considerably from that of the majority of students.

## **XI. APPENDICIES**

### **A. GLOSSARY OF TERMS**

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

#### **APT – Appointments, Promotion and Tenure**

**Appointments, Promotion and Tenure 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** – Appointments may be up to 3 years. Positions may be paid or unpaid. These faculty fall into many sub-categories. (See also Clinical Associated Faculty, Adjunct Faculty, and full-time Paid Associated)

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

**Courtesy Appointment** – a no salary appointment for a faculty member from another academic department within the University. Appointments must use the same title as that offered in the primary department

**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 categories** (aka tracks) – the College of Medicine has four categories: Tenure-track, Clinical, Research, Associated (see also **Faculty**)

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

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

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

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

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

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

**OAA – Office of Academic Affairs**

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

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

**Practice Faculty** – an associated faculty appointment for those who will have a paid associated faculty appointment or have a paid appointment (e.g. staff, physician) through OSU, OSUP, or NCH. (see also **Associated Faculty**)

**Prior Service Credit** – Appointments at junior rank with prior service credit require approval by the college dean and OAA. The required documentation for appointments at senior rank and junior appointments with prior service credit can be found in the [Policy on Faculty Recruitment and Selection](#).

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

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

**Clinical Faculty** – for physicians who primarily engage in clinical teaching and practice.

**Research Faculty** – for basic scientists 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 (please see Appendix B of the College’s AP&T document for the complete list of TIUs)

**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.

**REVISED: 04/15/21**