



**THE OHIO STATE UNIVERSITY**

---

COLLEGE OF NURSING

## **Appointments, Promotion and Tenure Criteria and Procedures**

Approved by the Faculty, 06/02/2005; 05/03/2007; 06/03/2010; 06/22/2012; 02/10/2016;  
01/10/2018, 05/08/2019

Last Approved by the Faculty, 03/20/2024

Approved by the Office of Academic Affairs, 10/17/2005; 09/28/2007; 06/25/2010;  
11/19/2013; 03/29/2016; 10/16/19; 06/10/2024

## Table of Contents

I Preamble.....	5
II College Mission.....	5
III Definitions.....	5
A Committee of the Eligible Faculty (CEF).....	5
1 Tenured/Tenure-Track faculty.....	6
2 Clinical Faculty.....	6
3 Research Faculty.....	7
4 Associated Faculty.....	7
5 Conflict of Interest (COI).....	8
6 Minimum Composition.....	9
B Appointments, Promotions and Tenure Committee.....	9
C Quorum.....	10
D Recommendation from the Committee of the Eligible Faculty.....	10
1 Appointment.....	10
2 Reappointment, Promotion, Tenure, or Promotion and Tenure Reviews.....	10
IV Appointments.....	11
A Criteria.....	11
1 Tenure-Track Faculty.....	11
Instructor.....	11
Assistant Professor.....	12
Associate Professor and Professor.....	12
2 Clinical Faculty.....	13
Associate Clinical Professor and Clinical Professor.....	13
3 Research Faculty.....	13
Research Assistant Professor.....	14
Research Associate Professor and Research Professor.....	14
4 Associated Faculty.....	14
5 Emeritus Faculty.....	15
6 Courtesy Appointments for Faculty.....	16
B Procedures.....	16
1 Tenure-track Faculty.....	17
2 Clinical Faculty.....	19

3 Research Faculty .....	19
4 Transfer from the Tenure-track.....	19
5 Associated Faculty .....	19
6 Courtesy Appointments for Faculty.....	20
V Annual Performance and Merit Review Procedures.....	20
A Documentation.....	21
B Probationary Tenure-Track Faculty .....	21
I Dean Recommendation .....	21
1 Fourth-Year Annual Review Procedures for Probationary Tenure-Track Faculty.....	22
2 Extension of the Tenure Clock.....	23
C Tenured Faculty .....	23
D Clinical Faculty.....	24
E Research Faculty .....	24
F Associated Faculty .....	25
G Salary Recommendations.....	25
VI Promotion and Tenure and Promotion Reviews.....	26
• Research and Scholarship.....	26
• Effective Teaching.....	26
• Service.....	27
A Criteria and Evidence that Support Promotion.....	27
2 Promotion to Professor .....	28
3 Promotion to Associate Clinical Professor.....	29
4 Promotion to Clinical Professor .....	29
5 Promotion to Research Associate Professor .....	29
6 Promotion to Research Professor .....	29
7 Promotion of Associated Faculty .....	30
B Procedures.....	30
a Timing .....	30
1 Tenure-Track and Tenured Faculty.....	30
2 Clinical Faculty .....	31
3 Research Faculty .....	31
C Tenure-Track, Clinical, and Research Faculty .....	31
1 Candidate Responsibilities.....	31
Dossier .....	31

I Teaching Documentation .....	31
II Scholarship Documentation .....	32
III Service Documentation .....	32
Appointments, Promotion, and Tenure (APT) Document.....	33
External Evaluations (see also External Evaluations below) .....	33
D Appointments, Promotions and Tenure Committee Responsibilities .....	33
E Committee of the Eligible Faculty Responsibilities .....	35
F Dean’s Responsibilities .....	35
G Procedures for Associated Faculty.....	37
H. External Evaluations .....	37
VII Promotion and Tenure and Reappointment Appeals .....	39
VIII Seventh-Year Reviews .....	40
IX Procedures for Student and Peer Evaluation of Teaching .....	40
A Student Evaluation of Teaching (SEI) .....	40
B Peer Evaluation of Teaching .....	40
X APPENDICES.....	42
Table 1: Tenured/Tenure-Track Faculty Criteria .....	43
Research and Scholarship .....	43
Teaching.....	43
Service.....	44
Table 2: Clinical Faculty Criteria .....	45
Scholarship.....	45
Teaching.....	46
Service.....	47
Practice .....	48
Table 3: Research Faculty Criteria.....	50
Research and Scholarship .....	50
Service.....	50

## **I Preamble**

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

Should those rules and policies change, the college shall follow those new rules and policies until it can update this document to reflect the changes. This document must be reviewed and either reaffirmed or revised, at least every five years on the appointment or reappointment of the dean.

This document has been approved by the faculty, by the dean of the college, and by the executive vice president and provost of the university. Within the context of the college's mission and the mission of the university, this document sets forth the criteria and procedures for faculty appointment; and the criteria and procedures for faculty promotion, tenure, and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accepts the mission and criteria of the college and delegate to the faculty the responsibility of applying high standards in evaluating continuing faculty and candidates for positions in relation to its mission and criteria.

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

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

## **II College Mission**

We exist to dream, discover, and deliver a healthier world.

## **III Definitions**

### **A Committee of the Eligible Faculty (CEF)**

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

Faculty rules allow center directors to vote; however, as with all faculty, if there is a perceived conflict of interest, the center director must recuse themselves. The dean and assistant and

associate deans of the college, the executive vice president and provost, and the president may not participate as eligible faculty members in reviews for appointment, reappointment, promotion, or promotion and tenure.

## **1 Tenured/Tenure-Track faculty**

### **Initial Appointment Reviews**

- For an appointment (hiring) review of an assistant professor, associate professor, or professor, the eligible faculty consists of all tenured/tenure-track faculty in the College.

### **Rank Reviews**

- A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested.

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

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

## **2 Clinical Faculty**

### **Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of an assistant clinical professor, an associate clinical professor, or a clinical professor, the eligible faculty consists of all tenured/tenure-track faculty and all clinical faculty in the College.

### **Rank Reviews**

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

### **Reappointment and Promotion Reviews**

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

non-probationary associate clinical professors and clinical professors.

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

### **3 Research Faculty**

#### **Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of a research assistant professor, research associate professor, or research professor, the eligible faculty consists of all tenure-track faculty, and all research faculty.

#### **Rank Reviews**

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

#### **Reappointment and Promotion Reviews**

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

### **4 Associated Faculty**

#### **Initial Appointment and Reappointment Reviews**

- Initial appointments of associated faculty, other than those to be appointed at senior rank, are based on search committee recommendations to the dean and do not require a faculty vote.
- Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary clinical faculty and tenured faculty of equal or higher rank than the position requested) and prior approval of the Office of Academic Affairs.
- Reappointments of associated faculty do not require a faculty vote and are decided

by the dean in consultation with the associate dean for academic affairs and educational innovation, or assistant dean for graduate clinical programs, or assistant dean for baccalaureate programs. The dean's decision is final.

### **Promotion Reviews**

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

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

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

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

The promotion of a lecturer to senior lecturer is decided by the dean in consultation with clinical faculty as described in Section III.A.2 above.

## **5 Conflict of Interest (COI)**

### **Search Committee Conflict of Interest**

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

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

### **Eligible Faculty Conflict of Interest**

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



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

If a faculty member believes another faculty member has an undeclared conflict of interest, written communication to that effect should go to the CEF/APT Committee chairperson, with the rationale for this belief. When there is a question about potential conflicts, open discussion and professional judgment are required in determining whether it is appropriate for the faculty member to excuse himself or herself from a particular review. The majority of the eligible faculty shall reach a decision regarding this issue. If a faculty member disagrees with that decision, the matter will be referred to the dean. The quorum is adjusted when faculty member(s) are recused because of a conflict of interest. A faculty member with a conflict of interest shall not participate in the vote on rank of appointment, tenure, or on reappointment for the candidate.

## **6 Minimum Composition**

At minimum, three eligible faculty members must be involved in any review. In the event that the college does not have at least three eligible faculty members who can undertake a review, the dean will request from another college, permission to appoint a faculty member from that college for the review process.

## **B Appointments, Promotions and Tenure Committee**

The college has an Appointments, Promotions and Tenure Committee that assists the Committee of the Eligible Faculty (CEF) in managing personnel and promotion and tenure issues. The committee, which is a subcommittee of the CEF (see Section III above), consists of two tenured professors, one tenured associate professor, one clinical professor in second or subsequent term, and one associate clinical professor in second or subsequent term. These elected members elect as chair a professor on the committee. The APT chairperson also serves as chair of the CEF.

The CEF reviews the promotion, tenure and reappointment of college faculty and provides an evaluative written assessment to the dean. The Committee's assessment is advisory to the

dean.

## **C Quorum**

The quorum required for the college to discuss and vote on all personnel decisions is 75 percent of the eligible faculty. The eligible faculty includes those not on an approved leave of absence. Faculty on approved leave are not considered for quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the dean has approved an off-campus assignment. Faculty members who withdraw or recuse themselves because of a conflict of interest are not counted when determining quorum.

## **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. If a member of the committee of eligible faculty feels they cannot vote for or against a candidate, they should not participate in the discussion and vote. If they are abstaining due to a believed conflict of interest, they should not participate in the discussion or vote.

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

### **1 Appointment**

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

- In the case of joint appointments, the TIU of a jointly appointed candidate must seek input from the joint-appointment TIU prior to the appointment of that candidate.

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

A positive recommendation for reappointment, promotion, tenure, or promotion and tenure is made to the dean if two-thirds of the eligible faculty vote in the affirmative.

- In the case of joint appointments, the TIU of a jointly appointed candidate must seek input from the joint-appointment TIU prior to the reappointment or promotion and/or tenure of that candidate.

## **IV Appointments**

### **A Criteria**

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

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

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

It is the expectation of the college that a faculty appointment forwarded for approval by the college, or a courtesy faculty appointment made by a college will have been made consistent with this APT document, and other relevant policies, procedures, practices, and standards established by the college, the Rules of the University Faculty, the Office of Academic Affairs, and the Office of Human Resources.

#### **1 Tenure-Track Faculty**

Tenure-track faculty may serve as a Category M Graduate Faculty and may serve on doctoral examination and dissertation committees at the discretion of the Graduate Studies Committee. Tenure-track faculty may be granted Category P status with approval of the Graduate Studies Committee and the Graduate School.

#### **Instructor**

Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. Procedures for appointment are identical to those for an assistant professor. The college will make every effort to avoid such appointments. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. An appointment at the

instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the CEF, 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.

### **Assistant Professor**

An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the college and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. 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.

Request for review for promotion and/or tenure prior to the mandatory review year is possible when the Appointments, Promotions and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted except through an approved request to exclude time from the probationary period.

### **Associate Professor and Professor**

Appointment offers at the rank of Associate Professor with or without tenure, or Professor with tenure, and offers of prior service credit require prior approval of the Office of Academic Affairs.

Appointment at senior rank requires that the individual, at a minimum, meet the college's criteria in teaching, research and scholarship, and service for promotion to these ranks (see Table 1 in the Appendix). Appointment at the rank of associate professor normally entails tenure. A probationary appointment at the rank of associate professor is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country or may be on the cusp of obtaining major extramural funding. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Appointments at the rank of professor without tenure should not occur.

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

## **2 Clinical Faculty**

An earned terminal degree including clinical doctorate (e.g. Doctor of Nursing Practice) is the minimum requirement for appointment at the rank of assistant clinical professor, with the emphasis on teaching and practice and a potential for scholarship. Evidence of ability to teach is highly desirable. The initial appointment of clinical faculty must be for a five-year period. The initial appointment is probationary, with reappointment considered annually. Second and subsequent contracts for 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. Tenure is not granted to clinical faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the college wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. Criteria for appointment of clinical faculty have emphasis on teaching and scholarship (See Table 2 in the Appendix).

Clinical faculty may serve as a Category M Graduate Faculty and may serve on doctoral examination and dissertation committees at the discretion of the Graduate Studies Committee. Clinical faculty may be granted Category P status with approval of the Graduate Studies Committee and the Graduate School.

### **Assistant Clinical Professor**

Appointment at rank of assistant clinical professor is based on having a doctoral degree from a regionally and professionally accredited institution and the required licensure/certification in his/her/their specialty and evidence that the individual can perform effectively in teaching, scholarship, practice, and service.

### **Associate Clinical Professor and Clinical Professor**

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

## **3 Research Faculty**

Appointment of research faculty entails one-to-five-year contracts. The initial

appointment is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the college wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. Criteria for appointment of research faculty are similar to those of tenure-track faculty, with the emphasis on research and scholarship (See Table 3 in the Appendix).

Research faculty may serve as a Category M Graduate Faculty and may serve on doctoral examination and dissertation committees at the discretion of the Graduate Studies Committee.

### **Research Assistant Professor**

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

### **Research Associate Professor and Research Professor**

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

## **4 Associated Faculty**

Associated faculty must have a minimum requirement of a master's degree and appointments may be as short as a few weeks to assist with a focused project, a semester to teach one or more courses, or for up to three years when a longer contract is useful for long-term planning and retention. Associated faculty may be reappointed.

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

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track

titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

**Clinical Instructor of Practice, Clinical Assistant Professor of Practice, Clinical Associate Professor of Practice, Clinical Professor of Practice.** Associated clinical practice appointments may either be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated academic service to the college, for which a faculty title is appropriate. Associated clinical practice rank is determined by applying the criteria for appointment of clinical faculty.

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

**Senior Lecturer.** Appointment as senior lecturer requires that the individual have a terminal degree 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. The initial appointment for a senior lecturer should generally not exceed one year.

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

## **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 dean outlining academic performance and citizenship. The faculty eligible to conduct promotion reviews within

the requestor's appointment type (see Section III.A.1-4) will review the application and make a recommendation to the dean. The dean will decide upon the request, and if appropriate submit it to the dean, who will forward a recommendation to the executive vice president and provost. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-5-04](#), emeritus status will not be considered.

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

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

## **6 Courtesy Appointments for Faculty**

Courtesy appointments are no-salary joint appointments for Ohio State University (OSU) faculty from other tenure-initiating units at the rank of assistant professor or above. At a minimum, a courtesy appointment should be based on the expectation of the appointee's substantial involvement in the college; continuation of the appointment will reflect ongoing contributions (at the discretion of the dean or her/his designee). Unlike associated faculty appointments, courtesy appointments do not require formal annual renewal, but shall be reviewed every four years. A decision to reappoint shall be made by the dean in consultation with the appropriate faculty with whom the courtesy appointment faculty member works.

A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

## **B Procedures**

The appointment of all compensated tenure-track, clinical, research, and associated faculty, irrespective of rank, must be based on a formal search process following the [SHIFT](#) Framework for faculty recruitment. All faculty positions must be posted in [Workday](#), the university's system of record for faculty and staff. Formal interviews are required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in [Workday](#) to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

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

- recruitment of tenure-track, clinical, research faculty, 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. This includes all external candidates for all faculty positions. The only exception is for dual career partners, as described in Volume 1, Chapter 4, section 5.1 of the [Policies and Procedures Handbook](#). The dean must seek exceptions to this policy from the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Searches for tenure-track faculty proceed as follows:

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

The dean appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the college.

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

The [SHIFT](#) Framework serves as a centrally coordinated guideline and toolkit to support the entire process of faculty recruitment with clear engagement from all participating stakeholders involved in the faculty hiring process. This framework is intended to provide faculty engaged in search committees and staff providing support services with the tools and support needed to attract excellent and diverse applicant pools, conduct consistent and equitable evaluations, and successfully hire and properly onboard new faculty members who will continue our tradition of academic excellence. This framework consists of six phases, each targeting a specific stage of the recruitment process:

- “Phase 1 | Search Preparation & Proactive Recruitment” is the earliest stage in the search process. Key steps during this phase include determining faculty needs for the unit, creating a search strategy (including timeline), establishing a budget, and identifying additional partners to include in the process. The steps in this phase provide guidance on forming committees, detail training requirements for search committee members, and innovative approaches to advertising and outreach. This section also includes ideas and resources for developing qualified, diverse talent pools

to ensure alignment with university and unit AA/EEO goals and advance the eminence of the institution.

- “Phase 2 | Preliminary Review of Applicants” focuses on best practices for the application review and candidate screening processes. The guidelines and resources in this section support consistency, fairness, and equity in the review, assessment, and selection of candidates moving forward in the recruitment process. This section also outlines how to select a list of candidates for on-campus interviews.
- “Phase 3 | Finalists Interviews & Evaluations” provides guidance and tools for conducting interviews and campus visits, requesting reference letters (if not requested earlier in the application stage), and collecting feedback from everyone who interacted with the candidates. Adherence to the guidelines outlined in this section has a direct impact on enhancing the candidate experience and ensuring a consistent evaluation process. This phase concludes with the submission of a letter from the search committee to the dean.
- “Phase 4 | Extend Offer” provides guidance and resources related to effectively selecting the most qualified candidate(s) for the position(s) and successfully negotiating to result in an accepted offer.
- “Phase 5 | Preboard and Onboard” offers resources to help prepare and support new faculty as they transition to Ohio State. The suggestions in this phase focus on creating a seamless transition for incoming faculty and their partners/families, if applicable.
- “Phase 6 | Reflect and Assess the Search” is a process supported by OAA to reflect on the hiring cycle each year and evaluate areas that may need improvement and additional support.

If an offer involves senior rank, the eligible faculty members vote on the appropriateness of the proposed rank. If an offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the dean. Appointment offers at the rank of associate professor, with or without tenure, or professor, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

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

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

## **2 Clinical Faculty**

Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus or online interview may be on clinical/professional/educational practice and/or scholarship.

## **3 Research Faculty**

Searches for research faculty generally proceed identically as for tenure-track faculty.

## **4 Transfer from the Tenure-track**

Tenure-track faculty may transfer to a clinical or research appointment prior to initiation of the tenure review if appropriate circumstances exist. Tenure or tenure eligibility is lost upon transfer, and transfers must be approved by the dean and the executive vice president and provost.

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

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

## **5 Associated Faculty**

The appointment of compensated associated faculty members follows a formal search following the [SHIFT](#) Framework, which includes a job posting in [Workday](#) (see Section IV.B) and candidate interviews. The appointment is then decided by the dean or designee. The reappointment of all compensated associated faculty members is decided by the dean in consultation with the associate dean for academic affairs and educational innovation, or assistant dean for graduate clinical programs, or assistant dean for baccalaureate programs.

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

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

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

Lecturer and senior lecturer appointments are made on an annual basis and rarely semester by semester. After the initial appointment, and if a college's curricular needs

warrant it, a multiple year appointment may be offered.

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

## **6 Courtesy Appointments for Faculty**

Any faculty member within the college may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State TIU. A proposal describing the uncompensated academic service that justifies the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the dean extends an offer of appointment. The dean reviews all courtesy appointments every three years to determine whether they continue to be justified and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

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

The annual performance and merit review of a faculty member is the responsibility of that faculty member's dean.

- Depending on a faculty member's appointment type, the review is based on expected performance in teaching, scholarship, and/or service as set forth in the college's guidelines on faculty duties, responsibilities, and workload; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.
- The review of faculty with budgeted joint appointments must include input from the joint appointment TIU head for every annual evaluation cycle. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on goals specific to the individual in the joint unit.
- Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.
- Annual performance and merit reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment.
- Per Faculty Rule [3335-3-35](#), deans are required to include a reminder in annual review letters that all faculty have the right (per Faculty Rule [3335-5-04](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

The college must follow the requirements for annual performance and merit reviews as set forth in the [Policy on Faculty Annual Review and Reappointment](#). It is the expectation of the college that annual performance and merit reviews will also be consistent with the college's APT document and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources. The annual reviews for all faculty, except the 4th and 6th year reviews of probationary tenure-track faculty and penultimate year reviews of probationary clinical and

research faculty, are conducted in the spring as an administrative review with input from the eligible faculty. The dean or designee is responsible for notifying faculty of the timetable for annual review and the materials to be submitted.

All fourth-year reviews of probationary tenure-track faculty members must be forwarded to the executive vice president and provost, who makes the final decision on reappointment or non-reappointment.

All cases in which the college recommends the non-reappointment of a probationary tenure-track faculty member or the non-renewal of a probationary clinical or research faculty member must likewise be forwarded to the executive vice president and provost. In all such cases, the decision of the executive vice president and provost is final.

## **A Documentation**

For their annual performance and merit review, the college requires compensated faculty members to submit the following documents to the dean or designee on a date(s) determined by the dean:

- Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 (*required for probationary faculty*) or updated documentation of performance and accomplishments (*non-probationary faculty*)
- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)
- Performance Review and Goal Development Plan
- Self-evaluation

Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure.

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

## **B Probationary Tenure-Track Faculty**

Annual reviews of probationary faculty, except the 4<sup>th</sup> and 6<sup>th</sup> year reviews of probationary tenure-track faculty will be conducted by the dean or designee.

### **i Dean Recommendation**

The dean prepares an independent evaluation, which will include an assessment of the faculty member's performance and professional development, including strengths and weaknesses, and a recommendation for reappointment. The dean or designee will meet with the faculty member to discuss the annual review and recommendations. The dean will

notify the faculty member of his/her reappointment decision at the end of the meeting.

If the dean recommends renewal of the appointment, this recommendation is final. The annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals.

If a non-reappointment decision is made, based on the results of a formal performance review conducted according to the Fourth-Year Review process (per Faculty Rule [3335-6-03](#)), the faculty member will be given 10 calendar days to comment, and the dean may respond. At the end of the comments period, the dean forwards the complete dossier to the OAA for review. The executive vice president and provost will make the final decision about the case.

### **1 Fourth-Year Annual Review Procedures for Probationary Tenure-Track Faculty**

Faculty Rule [3335-6-03](#) requires that the fourth-year review for probationary tenure-track faculty follow the same procedures as the sixth-year review (see Section VI.B), except that external evaluations at the fourth-year review are not required.

The dean or designee is responsible for notifying the faculty of the timetable for review and the materials to be submitted. By the second Friday of September, the faculty member will provide the materials to the dean or designee for their review using the criteria for the relevant rank, related documentation, and current dossier guidelines as published by the OAA.

The CEF/APT chairperson will assign two members of the CEF to serve as independent evaluators. The evaluation will include an assessment of the faculty member's performance and professional development, including strengths and weaknesses, and a recommendation for reappointment. The evaluation letter will be addressed to the dean and copied to the designee (e.g., associate dean, supervisor, or center director) and the chair of CEF/APT.

The CEF/APT chairperson is responsible for organizing the Autumn CEF meeting for the review of designated faculty in October/November and for notifying the eligible faculty of the date and time of the meeting. The purposes of the meeting are to discuss the scholarship, teaching and service activities and accomplishments for the designated faculty since hire and make recommendations on reappointment.

Following the review by the CEF, the chairperson submits a statement of evaluation for inclusion in the dossier, which is then forwarded to the dean for review. The dean prepares an independent evaluation. The dean and the chairperson will meet with the faculty member to discuss the review and recommendations.

When the reports for the review by the CEF/APT chairperson and dean are complete, the faculty member under review is notified by the dean that the reports are available for

review and the faculty member has 10 calendar days from that point to provide comments on the reports for inclusion in the dossier. If the faculty member provides written comments, the dean may provide a written response, and/or the CEF may reconvene and consider the candidate's comments and provide a written response.

All Fourth-Year review cases will be sent to OAA regardless of whether the dean recommends renewal or non-renewal. The executive vice president and provost makes the final decision. If an appointment is not renewed, standards of notice will be in accord with Faculty Rules.

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

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

## **C Tenured Faculty**

The dean or designee is responsible for notifying the faculty of the timetable for annual review and the materials to be submitted. At a date designated by the dean, tenured faculty will provide the materials to the dean or designee for their annual review using the criteria for the relevant rank, related documentation, and current dossier guidelines as published by the OAA.

Associate professors and professors are reviewed annually by the dean or dean's designee (e.g., center chairs, associate deans), who submit a written performance review to the dean along with comments on the faculty member's progress toward promotion. The dean delegates the designee to meet with the faculty member alone or with the dean to discuss his or her performance, future plans, and goals. The faculty member may provide written comments on the review.

The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the college, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in education in both teaching and mentoring students; and outstanding service to the college, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest-ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review.

The faculty member may provide written comments on the review.

## **D Clinical Faculty**

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

In the penultimate contract year of a clinical faculty member's appointment, the dean 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.

Following the review of the faculty member's materials, a letter of review will be generated by the CEF/APT chairperson and a meeting arranged with the faculty member under review, at least one member of the eligible review faculty group, and the dean.

- External evaluations of scholarship and, if appropriate, practice activities are required for clinical faculty seeking promotion only.
- Clinical faculty members' annual review materials including career synopsis, CV, representative publications, and peer teaching reviews are to be included in the review materials.
- External evaluations of scholarship and practice activities are not required at the penultimate year of the contract period for clinical faculty who are being reviewed for reappointment.
- Two peer evaluations of teaching are required for the period under review.

There is no presumption of renewal of contract.

## **E Research Faculty**

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

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



Following the review of the faculty member's materials, a letter of review will be generated by the CEF/APT chairperson and a meeting arranged with the faculty member under review, at least one member of the eligible review faculty group, and the dean.

- External evaluations are required for research faculty who are seeking promotion. External evaluations of research activities are NOT required at the penultimate year of the contract period for research faculty who are being reviewed for reappointment.
- A peer evaluation of research is required for research faculty. The research review is completed by two peers appointed by the associate dean for research and innovation. This evaluation will include all scholarship activities since hire, including grants, manuscripts, and works in progress. For research faculty, a positive penultimate year review carries with it a one-to-five-year reappointment. In addition, the terms of a contract may be renegotiated at the time of reappointment.

There is no presumption of renewal of contract.

## **F Associated Faculty**

Each salaried associated faculty member is reviewed annually by the appropriate assistant or associate deans; input from specialty program and/or course teams may be obtained. A decision about reappointment is communicated to the dean. The dean's decision on renewal of the appointment is final.

The teaching contributions of non-salaried clinical practice and adjunct faculty are reviewed annually by the appropriate specialty program and or course teams; recommendations for renewal are forwarded to the appropriate associate or assistant dean.

## **G Salary Recommendations**

The dean makes annual salary recommendations. The recommendations are based on the current annual performance and merit review as well as on the performance and merit reviews of the preceding 24 months.

It is the expectation of the college that merit salary increases and other rewards made will be made consistent with the APT document and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

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.

## VI Promotion and Tenure and Promotion Reviews

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

*In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. (e.g., administration roles) In addition, as the University enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the University as an institution dedicated to the discovery and transmission of knowledge.*

This section delineates criteria for promotion within the ranks of tenure-track, and non-tenure-track faculty, which includes clinical, research, and associated faculty. These criteria shall be used to amplify the [OSU Faculty Rules](#) and used in conjunction with the OAA's guidelines for dossier preparation (see Volume 3 of the [Policies and Procedures Handbook](#)). These criteria are the standards upon which judgments are based. In all cases, evidence of a sustained pattern in the quality of faculty effort and leadership is required for reappointment (in untenured positions) or promotion at any academic rank.

- **Research and Scholarship**

Research and scholarship are the responsibility of tenure-track, clinical, and research faculty members. Research is considered the primary form of scholarship for tenure-track faculty and research faculty; other indicators include theoretical and philosophical innovations, the development of improved empirical methods, and the creative application of existing concepts and empirical methods to problem solving. Each tenure-track and research faculty member is expected to develop a research and scholarship program that focuses on significant health and health care problems and is congruent with the mission of the college. See Table 1 for criteria examples.

For clinical faculty, scholarship may take the form of evidence-based practice protocols; research, case studies or clinical reviews; contribution as a second author on peer-reviewed journal publications; and presentations at local, regional, or national professional meetings. However, dissemination by publication is the expected outcome.

- **Effective Teaching**

Effective teaching is an essential responsibility of all faculty members except research faculty members in the college. The quality of teaching is an explicit factor in the evaluation of faculty

performance for promotion and tenure, and promotion. Teaching includes undergraduate and graduate instruction in formal courses, seminars, and individual studies. Directing student research and scholarship is both a research and teaching activity. Advising students, and academic and career counseling (graduate and undergraduate), are teaching activities.

- **Service**

Service is an expectation of tenure-track, clinical, research and associated faculty within the college. Service is defined as activities provided and responsibilities assumed for the benefit of the identified audiences of the university; the discipline of nursing; public and private health sectors at local, state, and national levels; and of the community. Faculty are expected to demonstrate increasing involvement and leadership in service as they progress in rank. The nature and extent of service activity, however, will vary for individual faculty members. Faculty provide services of the following types:

- Administrative services at college and university levels,
- Advisory services to undergraduate and graduate students,
- Professional services to peers in the discipline of nursing, to other health care providers, and to community leaders, and clinical practice.

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

### **1 Promotion to Associate Professor with Tenure**

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

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

Promotion to associate professor with tenure in the college requires excellence in both scholarship and teaching, where scholarship is defined as research, scholarly, and/or creative work. Candidates for promotion to associate professor with tenure should show promise of excellence in service.

Excellence in scholarship means attainment of measurable national or international recognition based on high-quality published research and/or other relevant creative endeavors. A successful candidate will have an emerging national reputation. Excellence in teaching means the provision to all students of the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience. Excellence in service means the provision of a high level of professional expertise and experience to the University, the community, the state and nation, and professional organizations. The service contribution during the probationary period of assistant professors

is limited by design. The most important judgment is that the candidate will achieve excellence in service in the future.

The substantial probability that a high rate of quality scholarship and/or creative activity and excellence in teaching and service will continue needs to be established. The claim that retention of the candidate will improve the overall quality and standing of the unit needs to be supported.

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

In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

Criteria and evidence that may support promotion to associate professor with tenure are listed in Table 1 of the Appendix.

## **2 Promotion to Professor**

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

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

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure (see Table 1 in the Appendix), with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field.

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

In addition, as further specified by Faculty Rule [3335-6-02](#), assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another. Promotion should reflect the reality that (a) not all faculty members have the same distribution of assignments (b) not all faculty members will be able to contribute excellence equally in all evaluation dimensions; and (c) there is a multi-faceted institutional responsibility

that must be achieved by the skills of the faculty collectively. Promotion to professor should be awarded not only to those faculty who have demonstrated impact in their scholarship of research and creative inquiry, teaching and learning, and service, but also to those who have exhibited excellence in leadership to make visible and demonstrable impact upon the mission of the college and university.

### **3 Promotion to Associate Clinical Professor**

Promotion to the rank of associate clinical professor in the college requires that a faculty member show convincing evidence of excellence as a teacher and a provider of effective service; have a documented high level of competence in professional practice; and display the potential for continuing a program of high-quality teaching and service relevant to the mission of the college. Specific criteria in teaching and service for promotion to associate clinical professor are similar to those for promotion to associate professor with tenure. Evidence of a focused and defined clinical scholarship is required. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms. (See Table 2 of the Appendix).

### **4 Promotion to Clinical Professor**

Promotion to the rank of clinical professor in the college requires that a faculty member have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to the college and to the profession; and evidence of a sustained pattern of clinically relevant scholarship are required. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms. (See Table 2 of the Appendix).

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

Promotion to the rank of research associate professor in the college requires excellence in scholarship. There is an expectation of a record of significant external support for research and a substantial probability that external support for research will continue. The claim that retention of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms. (See Table 3 of the Appendix)

### **6 Promotion to Research Professor**

Promotion to the rank of research professor in the college requires excellence in scholarship. There is an established record of significant external support for research and a substantial probability that external support for research will continue. The claim that promotion of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms. (See Table 3 of the Appendix).

## **7 Promotion of Associated Faculty**

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

**Promotion to Associate Professor and Professor with FTE below 50%.** The relevant criteria for the promotion of associated faculty members with tenure-track titles are those for the promotion of tenure-track faculty above.

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

The relevant criteria for the promotion of associated clinical practice faculty members shall be the same as those for the promotion of clinical faculty above.

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

**Promotion of Visiting Faculty.** Visiting faculty members are not eligible for promotion.

## **B Procedures**

The college's procedures for promotion and tenure reviews are consistent with and supplement 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](#). Tenure-track faculty may request, in writing, a meeting with the APT Committee to discuss non-mandatory promotion review. This meeting must occur during the autumn semester of the year prior to when the candidate is considering submitting materials for promotion. The APT Committee may decline to put forth a faculty member for formal non-mandatory promotion review if the candidate's accomplishments are judged not to warrant such review. The APT Committee may not deny a faculty member a formal review for promotion from associate professor to professor more than once. Approval by the APT Committee to seek promotion should not be construed as a positive review decision.

### **a Timing**

#### **1 Tenure-Track and Tenured Faculty**

Assistant professors are reviewed for promotion and tenure in the sixth year. Tenure and promotion to associate professor becomes effective at the start of the seventh year of employment, if granted. Promotion to associate professor with tenure earlier than the sixth year is possible if the criteria for promotion are met. This request would be treated as a non-mandatory promotion and tenure review. When associate professors are hired for a probationary period of one to four years, the mandatory review for tenure will occur in the final probationary year. If tenure is not granted, an additional (terminal) year of employment is offered. Tenured associate professors may be reviewed for non-mandatory promotion after

consulting with the APT Committee.

## **2 Clinical Faculty**

Clinical faculty may be reviewed for promotion at any time.

## **3 Research Faculty**

Research faculty may be reviewed for promotion at any time.

## **C Tenure-Track, Clinical, and Research Faculty**

### **1 Candidate Responsibilities**

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

### **Dossier**

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

While the college's Committee of Eligible Faculty will make reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by them.

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

### **I Teaching Documentation**

Cumulative SEI (reports computer generated summaries prepared by the Office of the University Registrar) for every class taught.

Peer evaluation of teaching reports as required by the college's peer evaluation of teaching program.

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. An accepted but unpublished work submitted for consideration in a given annual review may not be resubmitted after publication for consideration in a future annual review.

Other relevant documentation of teaching as appropriate.

For scholarship documentation, a full history of publications and creative work should be included, as this information provides context to the more recent and relevant research record and/or demonstrates scholarly independence. Information about scholarships produced prior to the start date (for probationary faculty) or date of last promotion or reappointment may be provided. Any such material should be clearly indicated. However, it is the scholarship performance since the start date or date of last promotion that is to be the focus of the evaluating parties.

## **II Scholarship Documentation**

Copies of all scholarly papers published or accepted for publication. 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.

Other relevant documentation of scholarship as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted).

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

## **III Service Documentation**

Any available documentation of the quality of service that enhances the list of service activities in the dossier.



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

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

Candidates must indicate the APT document under which they wish to be reviewed. A candidate may be reviewed using the current APT document, or they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion (or last reappointment in the case of clinical and research faculty), whichever of these two latter documents is the more recent. However, for tenure track faculty the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year.

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

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

If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to the college's guidelines. 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 dean decides whether removal is justified.

### **D Appointments, Promotions and Tenure Committee Responsibilities**

The responsibilities of the Appointments, Promotions and Tenure Committee are as follows:

- To review this APT document annually and to recommend proposed revisions to the faculty.
- To consider annually, in fall semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
  - The committee bases its decision on assessment of the record as presented in the faculty member's CV and career synopsis. Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.

- A tenured faculty member may only be denied a formal promotion review under Faculty Rule [3335-6-04](#) only once. Faculty Rules [3335-7-08](#) and [3335-7-36](#) make the same provision for non-probationary clinical and research faculty, respectively. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
  - A decision by the committee to permit a review to take place in no way commits the eligible faculty, the dean, 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](#).
  - Suggest names of external evaluators to the dean.
  - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on their dossier. This meeting is not an occasion to debate the candidate's record.
  - Ensure that a primary and secondary reviewer is assigned to generate a draft of an analysis of the candidate's performance in teaching, research, scholarship, and service that is provided to the full eligible faculty with the dossier.
  - 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 dean.
  - 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 dean in the case of joint appointees whose tenure-initiating unit is not the college. The full eligible faculty does not vote on these cases since the college's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this college's cases.

## **E Committee of the Eligible Faculty Responsibilities**

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

- To 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.
- 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 CEF meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.
- Only those eligible to vote and the dean (as an observer) participate in any meeting of the Committee of Eligible Faculty in reviews of appointment, reappointment, promotion, promotion, and tenure. If the dean is unable to attend as an observer, they may send a designate.
- Faculty need to be present either in person or remotely for the entire discussion to vote on tenure and/or promotion.
- At the meeting of the CEF, one of the two members of the CEF assigned to evaluate the faculty member will lead the discussion of the candidate's qualifications and achievements in the areas of teaching, research, scholarship, and service. Members of the CEF shall vote by secret ballot on the recommendation for reappointment, promotion and/or tenure. All deliberations and voting of the CEF are confidential.
- Although a single college APT Committee member is assigned oversight responsibility for promotion and tenure reviews, all members of the CEF must accept personal responsibility for assuring that reviews are procedurally correct, fair, confidential, and free of bias for all faculty members. The procedural oversight designees should assure that the review body follows written procedures governing its reviews and that the proceedings are carried out in a highly professional manner. Any procedural difficulties or other concerns about the review should first be brought to the attention of the CEF/APT Committee chairperson, who must provide a response to the oversight designee regarding either actions taken, or why the action suggested is not warranted. The CEF/APT chairperson or his/her designee shall prepare a letter summarizing the strengths and weaknesses of the candidate, the results of the faculty vote, and the recommendation made by the CEF. The CEF/APT Committee chairperson shall submit the dossier and the letter of the CEF to the dean of the college.

## **F Dean's Responsibilities**

The responsibilities of the dean or designee are as follows:

- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. For tenure-track assistant professors, the dean is to confirm that candidates are eligible to work in the U.S. Candidates who are not U.S. citizens or nationals, permanent residents, asylees, or refugees will be required to sign an [MOU](#) at the time of promotion with tenure.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Appointments, Promotions and Tenure Committee and the candidate. (Also see External Evaluations below.)
- To review faculty with budgeted joint appointments. The dean from the joint appointment unit must provide a letter of evaluation to the primary dean. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on impact of the work of the individual in the field of the joint unit.
- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To 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, a dean will leave the meeting to allow open discussion among the eligible faculty members.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the college review process:
  - of the recommendations by the eligible faculty and dean

- of the availability for review of the written evaluations by the eligible faculty and dean
  - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the dean for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the dean, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
  - To receive the Committee of Eligible Faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the dean's independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

## **G Procedures for Associated Faculty**

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

## **H External Evaluations**

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews and all research faculty reappointment and promotion reviews. External evaluations are optional for clinical faculty for the dimensions of teaching or service. If research and creative activity are an expectation of the position, then external letters are required. The decision to seek external evaluations for associated faculty members will be made by the dean after consulting with the candidate and the chair of the committee of eligible faculty.

This college will seek external evaluations predominantly from evaluators in peer and aspirational peer programs.

### **Aspirational Peer Programs**

- **Case Western University**
- **University of Pennsylvania**
- **John's Hopkins University**

- **Emory University**
- **Duke University**
- **Columbia University**
- **University of North Carolina – Chapel Hill**
- **University of Michigan**
- **University of Illinois – Chicago**
- **University of Pittsburgh**
- **University of California – San Francisco**
- **University of Washington - Seattle**

A conflict of interest for external reviewers exists if the reviewer is or has been to the candidate:

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

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, former academic advisor or post-doctoral mentor of the candidate, or someone who has collaborated extensively with the candidate or is currently collaborating with the candidate (see description of conflict of interest for external reviewers just above). Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This college will solicit evaluations only from faculty with institutional affiliations predominately in the programs specified above. 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 college cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

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

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

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

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

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

Only the candidate may appeal a negative tenure, promotion, or reappointment decision.

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

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

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

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

## **VIII Seventh-Year Reviews**

Faculty Rule [3335-6-05](#) sets forth the conditions of and procedures for a Seventh-Year Review for a faculty member denied tenure as a result of a sixth-year (mandatory tenure) review.

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

The procedure for evaluation of instruction is guided by the principles set forth in the Office of Academic Affairs guidelines (see Volume 1, Section 2.8 of the [Policies and Procedures Handbook](#)). This process includes but is not limited to the Student Evaluation of Instruction (SEI) or Student Evaluation of Clinical Instruction (SECI). Faculty members are required to include SEI/SECI summary data and narrative student evaluations in their annual review materials. Formal peer evaluations of teaching are conducted as part of the 4<sup>th</sup> and 6<sup>th</sup> year promotion and tenure review of tenure-track faculty and the penultimate and promotion review of clinical faculty. These reviews may include observation of classroom and clinical teaching, review of course materials, including materials developed for online instruction, and assessment of the role of the faculty member in course development, evaluation, and improvement. Two teaching evaluators are assigned by the associate dean for academic affairs and educational innovation. Whenever possible, the two teaching evaluations will be conducted in two different academic years during the review period, conducted by different evaluators, to provide faculty feedback and opportunity for improvement.

### **A Student Evaluation of Teaching (SEI)**

Use of the SEI is required in every course offered in this college. Faculty members should choose a day late in the semester when attendance is likely to be high if they are going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

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

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



The responsibilities of the peer reviewers are as follows:

- To review the teaching of probationary faculty at least two times in the first four years of service and at least twice more before the commencement of the mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.
- To review the teaching of non-probationary faculty: at least two peer reviews should be completed every five years.
- To review, upon the associate dean for academic affairs and educational innovation'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 aiding 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 supervisor 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](#).

Reviews conducted upon the request of the senior associate dean for academic affairs and educational innovation or the faculty member focus on the specific aspects of instruction requested by the senior associate dean or faculty member and may or may not include class visitations.

Scheduled peer teaching evaluations are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the promotion and tenure chair has identified in consultation with the candidate. The peer reviewer should talk with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy.

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

## **X APPENDICES**

Table 1: Tenure-track faculty criteria for rank

Table 2: Clinical faculty criteria for rank

Table 3: Research faculty criteria for rank

**Table 1: Tenured/Tenure-Track Faculty Criteria**

<b>Research and Scholarship</b>		
<b>Assistant Professor</b>	<b>Associate Professor</b>	<b>Professor</b>
<p><b>Potential for developing a focused program of research and scholarship as evidenced by:</b></p> <ul style="list-style-type: none"> <li>• Peer-reviewed publications as first- author and co-author</li> <li>• Funding for research that includes internal and external awards</li> <li>• Regional and/or national presentation of research</li> </ul>	<p><b>A developed and focused program of research as evidenced by:</b></p> <ul style="list-style-type: none"> <li>• External funding as a PI on a peer reviewed, highly competitive award</li> <li>• A consistent and building record of first-authored and co-authored peer reviewed research-based publications</li> <li>• Evidence of impact of publications on the field using current metrics</li> <li>• A mix of interdisciplinary and nursing specific publications</li> <li>• Mentoring of students at all levels in research</li> <li>• Service on graduate student committees in the college and in other university departments.</li> <li>• Commercialization activities</li> </ul>	<p><b>A developed and sustained program of research; as evidenced by:</b></p> <ul style="list-style-type: none"> <li>• Externally funded, peer reviewed, highly competitive awards as PI/Co-PI</li> <li>• First-authored and co-authored peer reviewed research-based publications</li> <li>• Impact of publications on the field using current metrics</li> <li>• A mix of interdisciplinary and nursing specific publications</li> <li>• Effective mentoring of junior faculty</li> <li>• Mentoring of graduate students. Student outcomes are crucial, e.g., quality of students' dissertations, co-authored publications, impact on the science. The student's research success reflects on the candidate's scholarship and research mentoring</li> <li>• Serving on expert panels</li> <li>• National/international recognition for scholarly contributions to the science</li> <li>• Chairs graduate students committees in the college and serves on committees in other university departments</li> <li>• Commercialization activities</li> </ul>
<b>Teaching</b>		
<b>Assistant Professor</b>	<b>Associate Professor</b>	<b>Professor</b>
<p><b>Potential to develop as an effective teacher as evidenced by:</b></p> <ul style="list-style-type: none"> <li>• Faculty evaluation of interview presentation</li> <li>• Interviews with senior faculty</li> <li>• Prior student evaluations of teaching (if available)</li> <li>• Self-evaluation of teaching activities and skills</li> </ul>	<p><b>Achievement of excellence in teaching as evidenced by:</b></p> <ul style="list-style-type: none"> <li>• SEI's, (reports and narrative comments)</li> <li>• Peer evaluations of teaching</li> <li>• Student accomplishments</li> <li>• Involvement in and contributions to college curriculum activities</li> <li>• Effective advisement of students</li> <li>• Mentoring junior faculty to become effective teachers</li> </ul>	<p><b>A sustained record of excellence in teaching as evidenced by:</b></p> <ul style="list-style-type: none"> <li>• Student evaluation of teaching, including University SEI reports and narrative comments</li> <li>• Peer evaluations of teaching</li> <li>• Student accomplishments including research and scholarship awards, publications</li> <li>• Demonstrated leadership in curriculum activities</li> <li>• Sustained and effective advisement of students</li> </ul>

<b>Service</b>		
<b>Assistant Professor</b>	<b>Associate Professor</b>	<b>Professor</b>
<p><b>Demonstrates understanding of service to college, university, and professional organizations.</b></p> <ul style="list-style-type: none"> <li>• Participates in professional associations at state and national levels</li> <li>• Membership in regional and national research or special interest networks for research, scholarship, and continuing education</li> </ul>	<p><b>Demonstrated pattern of effective service by participation and beginning leadership activities in academic and/or professional activities.</b></p> <p><b>A combination of college and university service, with beginning national service is expected.</b></p> <p><b><u>At the College and University Level:</u></b></p> <ul style="list-style-type: none"> <li>• Participates in college and university committees</li> <li>• Facilitates the ongoing function of college operations and activities</li> <li>• Serves on college and University governance, standing, and special committees, and on task forces</li> <li>• Actively participates in recruiting students and faculty for the college</li> <li>• Advises undergraduate and graduate professional and service organizations</li> <li>• Serves on college and university committees related to student affairs</li> </ul> <p><b><u>Professional Services</u></b></p> <ul style="list-style-type: none"> <li>• Actively participates in professional associations at state, national, and international levels, e.g., manuscript review, special committees, task forces, advisory committees</li> <li>• Participates in regional and national research networks for service, research, scholarship, and continuing education</li> <li>• Manuscript reviewer for relevant journals</li> </ul>	<p><b>Demonstrated leadership in academic and/or professional. A mix of college, university, and national service is expected.</b></p> <p><b><u>At the College and University Services</u></b></p> <ul style="list-style-type: none"> <li>• Provides leadership for college, and university committees</li> <li>• Facilitates the ongoing function of college operations and activities</li> <li>• Provides leadership on college and University governance, standing, and special committees, and on task forces</li> <li>• Actively participates in recruiting students and faculty for the college</li> <li>• Advises undergraduate and graduate professional and service organizations</li> <li>• Provides leadership on college and university committees related to student affairs</li> <li>• Effective mentoring of faculty</li> </ul> <p><b><u>Professional Services</u></b></p> <ul style="list-style-type: none"> <li>• Provides leadership to professional associations at state, national, and international levels, e.g., holding office, editorial board member, special committees, task forces, advisory committees.</li> <li>• Provides consultation and contributes to policy making boards of community, government, and health care agencies, at local, state, national and international levels</li> <li>• Provides professional services to peers, including reviewing course materials, manuscripts, proposals, and evaluations of instruction and research</li> </ul>

**Table 2: Clinical Faculty Criteria**

<b>Scholarship</b>		
<b>Criterion for Scholarship</b>		
Criterion for showing an increasing depth of evidence regarding competence and skill as a scholar across the Assistant, Associate and Professor levels of Clinical Nursing.		
<b>Assistant Professor</b>	<b>Associate Professor</b>	<b>Professor</b>
<p><b>Evidence of developing an area of clinical scholarship, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Demonstrated use of evidence based practices in clinical and educational activities.</li> <li>• Develops, publishes and contributes to clinically relevant practice documents, such as evidence-based practice protocols, case studies, or clinical reviews.</li> <li>• Publishes in peer-reviewed journal</li> <li>• Presents scholarly work at local and/or state conferences.</li> <li>• Has educational background consistent with the area of scholarship</li> <li>• Participates in clinical or evidence-based practice and quality improvement at the local level.</li> <li>• Participates in research projects</li> </ul>	<p><b>Indicators show evidence of a focused and defined pattern of clinical scholarship, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Establishes a consistent record of peer-reviewed publications regarding clinical and/or educational insights as first author or co-author. This may include peer reviewed journal articles, book chapters or nationally relevant evidence-based protocols. Publications that are in press may be counted as meeting this criterion</li> <li>• Explains and shows evidence of impact of publications and/or book chapters in the defined area of scholarship. This is supported by available current metrics that are relevant to the defined area of scholarship. Such metrics may include impact factors, number and use of the textbooks across the country and/or internationally, or national awards related to the textbook</li> <li>• Mentoring students at all levels in clinical scholarship. This may include having students involved in the development of clinically relevant publications, assisting them to become members of a professional organization, nominating students for awards in professional organizations</li> <li>• Participates and/or leads segments of evidence-based research at the regional or national level.</li> <li>• Presents scholarly work at state and/or regional conferences</li> <li>• Serving on local and state expert panels</li> <li>• Leads research</li> </ul>	<p><b>Indicators show evidence of a sustained pattern of clinically relevant scholarship, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Publishes first-authored and/or senior authored peer-reviewed clinically relevant scholarly publications. This may include peer reviewed journals, book chapters, nationally relevant evidence-based protocols</li> <li>• Evidence of sustained impact of publications on the field using metrics related to the determined area of clinical scholarship. This may include publishing, serving on editorial boards, being an invited author for a clinically relevant peer reviewed journal, electronic media, and/or book chapters</li> <li>• Mentoring of junior Clinical Nursing faculty. This may include helping faculty to grow their areas of scholarship and facilitate their involvement in professional organizations at the national and international levels</li> <li>• Mentoring students at all levels: involvement with graduate students is crucial, and student achievements (e.g., publications, awards, involvement in national organizations on committees, presenting) reflect on the quality of the mentoring</li> <li>• Serving on expert panels/boards/committees at the national and/or international levels</li> <li>• National/international recognition/awards for scholarly contributions to the determined area of scholarship</li> <li>• Obtains funding for evidence-based practice related research at the local, regional, national or</li> </ul>

	<ul style="list-style-type: none"> <li>• Serving as an expert nationally, such as through educational consulting work, journal reviewer or policy consultant</li> <li>• Commercialization activities</li> </ul>	<ul style="list-style-type: none"> <li>• international level</li> <li>• Obtains funding for research at the local, regional, national or international level</li> <li>• Serving on national and international panels, committees, boards, etc.</li> <li>• Commercialization activities</li> </ul>
--	---	---

### Teaching

Criterion for showing an increasing depth of evidence regarding competence and skill as a teacher across the Assistant, Associate and Professor levels of Clinical Nursing

Assistant Professor	Associate Professor	Professor
<p><b>Indicators that show evidence of developing competence and skill as a teacher, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Provides a confidential means for student evaluation of teaching; documentation includes university SEI reports and narrative comments</li> <li>• Receives satisfactory teaching evaluations. This may include metrics from teaching assignments, guest lecturers or other teaching experience</li> <li>• Conducts self-evaluation and review of teaching evaluations to strengthen teaching activities</li> <li>• Consults with the University Teaching Center in order to ascertain areas of strength and those not as strong in order to improve teaching competence and skill</li> <li>• Requests and receives peer evaluations of teaching</li> <li>• Student accomplishments and awards</li> <li>• Participates in college curriculum activities on committees</li> <li>• Participates in student advisement</li> </ul>	<p><b>Indicators that show evidence of increasing achievement of competence and skill as a teacher, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Receives positive teaching and course evaluations from students and peers.</li> <li>• Develops innovative, effective, and current evidence-based educational materials</li> <li>• Utilizes responses from student and peer evaluations in order to evaluate and make changes within teaching strategies</li> <li>• Participates in teaching faculty development in order to increase teaching competence and skill</li> <li>• Develops and presents evidence-based teaching workshops at state and/or regional conferences</li> <li>• Participates in interdisciplinary clinically relevant engagement educational efforts</li> <li>• Participates in college curriculum committees focused on curricular or practice endeavors</li> <li>• Provides effective individual advisement for students</li> <li>• Participates as a member on Doctor of Nursing Practice and/or Doctor of Philosophy committees</li> <li>• Provides mentoring regarding teaching strategies for Assistant Clinical faculty</li> <li>• Receives awards/recognition of teaching at the university, state, regional, national and/or international levels</li> </ul>	<p><b>Indicators that show evidence of a sustained patterns of excellence in teaching including leadership and impact on education at the national and/or internationally levels, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Provides editorial work for clinically relevant educational textbooks</li> <li>• Develops editorial work for clinically relevant columns within peer reviewed journal</li> <li>• Provides academic opportunities for national and international students</li> <li>• Writes invited editorials at the national and international levels</li> <li>• Develops evidence-based teaching materials and leads the use of these materials within national and international organizations. This includes E-learning opportunities</li> <li>• Serves an Adviser for and Chair of Doctor of Nursing Practice Committees</li> <li>• Provides mentoring regarding teaching strategies for Assistant and Associate Clinical faculty</li> <li>• Mentors students for scholastic activities (paper and/or posters); leadership and career development</li> <li>• Serves as a Chair and leads major curriculum revisions</li> <li>• Receives awards/recognition of teaching at the national and/or international levels</li> </ul>

	<ul style="list-style-type: none"> <li>• Student evaluation of teaching; documentation includes university SEI reports and narrative comments</li> <li>• Peer evaluations of teaching</li> <li>• Student accomplishments</li> <li>• Involvement in and contributions to college curriculum activities</li> <li>• Effective advisement of students</li> </ul>	<ul style="list-style-type: none"> <li>• Continues to sustain positive student teaching evaluations</li> <li>• Continues to sustain, mentor and advise students</li> <li>• Continues to sustain and re-refine teaching strategies and materials</li> <li>• Student evaluation of teaching; documentation includes university SEI reports and narrative comments</li> <li>• Peer evaluations of teaching</li> <li>• Student accomplishments, including scholarship awards, publications, etc.</li> <li>• Mentoring of Associated, Assistant and Associate Clinical faculty</li> <li>• Sustained and effective advisement of students</li> </ul>
<b>Service</b>		
Criterion for showing an increasing involvement and depth regarding contribution of service across the Assistant, Associate and Professor levels of Clinical Nursing		
<b>Assistant Professor</b>	<b>Associate Professor</b>	<b>Professor</b>
<p><b>Indicators show participation in faculty governance and service in the College of Nursing, College service and beginning local and state service is expected, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Regular attendance and active engagement at College of Nursing faculty meetings across all levels</li> <li>• Service on at least one college standing and/or other special committee</li> <li>• Membership and attendance in a professional organization that is relevant to the faculty person's clinical concentration area</li> <li>• Participation (e.g. conducting workshops, presentations) in professional organizations/associations at local and state levels</li> </ul>	<p><b>Indicators show a pattern of effective service and beginning leadership activities in academic and/or professional activities, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Regular attendance at and participation in discussions in College of Nursing faculty meetings</li> <li>• Demonstrated pattern of effective service by participation in leadership activities in academic and/or professional activities (e.g., College services and beginning national service is expected</li> <li>• Participation in college committees</li> <li>• Participation on college governance, standing, and special committees, and on task forces</li> <li>• Active participation in recruiting students and faculty for the college among which might include serving on recruitment panels</li> <li>• Advisement of undergraduate and graduate professional and service organizations</li> <li>• Service on graduate students 'committees in</li> </ul>	<p><b>Indicators show a continuing pattern of leadership in academic and/or professional service. A mix of college, university, and national and/or national service is expected, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Regular attendance at College of Nursing faculty meetings, leadership discussions on new initiatives</li> <li>• Leadership on college standing and special committees, and on task forces</li> <li>• Active participation in recruiting students and faculty for the college</li> <li>• Advisement of undergraduate and graduate professional and service organizations</li> <li>• Chair of graduate students' committees in the college</li> <li>• Sustained Leadership of professional associations at state, national, and international levels (e.g., holding office, editorial responsibilities, manuscript review, special committees, task forces, advisory committees)</li> <li>• Leadership in regional and national networks for</li> </ul>

	<p>the college</p> <ul style="list-style-type: none"> <li>• Service on college committees related to student affairs</li> <li>• Active participation in professional associations at state, national, and international levels (e.g., manuscript review, special committees, task forces, advisory committees)</li> <li>• Participation in regional and national networks for service, scholarship, and continuing education</li> <li>• Participation in university level service</li> </ul>	<p>service, scholarship, and continuing education</p> <ul style="list-style-type: none"> <li>• Consultation and contribution to policy-making boards of community, government, and health care agencies, at local, state, national, and international levels</li> <li>• Professional service to peers, including reviewing course materials, manuscripts, proposals, and evaluations of instruction</li> </ul>
<b>Practice</b>		
*This can refer to area(s) that inform clinical practice or refer to a clinical practice setting. Criterion for showing an increasing involvement and depth regarding contribution to a clinical concentration area across the Assistant, Associate and Professor levels of Clinical Nursing		
<b>Assistant Professor</b>	<b>Associate Professor</b>	<b>Professor</b>
<p><b>Indicators show engagement in a clinical concentration area, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Beginning to develop practice statistics related to the clinical concentration area (e.g., satisfaction, quality indicators)</li> <li>• Clinical Concentration-related publications at the local level</li> </ul>	<p><b>Indicators show engagement and participation in a clinical concentration area in activities that strengthen the clinical concentration area at the local and/or national level, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Participation in the development or revision of clinical concentration area guidelines (e.g., use of evidenced-based approaches in order to improve clinical care within systems and/or organizations)</li> <li>• Awards related for work within the clinical concentration areas</li> <li>• Recognition or awards for excellence in the clinical concentration area at the state level.</li> <li>• Participating in peer evaluations of clinical colleagues and multidisciplinary team members within the OSU College of Nursing</li> <li>• Practice-related publications at the state and regional areas</li> <li>• Evidence of clinical mentoring and direction of undergraduate, graduate, and professional peers</li> <li>• Involvement in the development of practice</li> </ul>	<p><b>Indicators show a sustained pattern of engagement and leadership in activities that strengthen clinical practice nationally, and internationally, some examples include:</b></p> <ul style="list-style-type: none"> <li>• Leadership in the development of clinical concentration and/or practice guidelines</li> <li>• Analysis of practice descriptors and statistics</li> <li>• Recognition or awards for excellence in clinical concentration area and/or clinical practice at the national and/or international levels</li> <li>• Participating in peer evaluation of colleagues (e.g., Promotion materials for OSU College of Nursing and/or other Colleges of Nursing at national and/or international levels)</li> <li>• Evidence based practice-related publications</li> <li>• Leadership in clinical mentoring and direction of undergraduate, graduate, and professional peers</li> <li>• Leadership in the development of practice innovations and clinical practice standards at the national and international levels</li> <li>• Invited and peer-reviewed presentations on clinical topics to professional audiences at the national and/or international levels</li> </ul>



	<p>innovations, clinical practice standards, and clinical pathways beyond normal clinical practice expectations</p> <ul style="list-style-type: none"> <li>• Invited and peer-reviewed presentations on clinical topics to professional audiences</li> <li>• Participation in clinical research, clinical/practice standards committees and quality-review boards</li> </ul>	<ul style="list-style-type: none"> <li>• Leadership in leading clinical evidence-based research, implementation of evidence-based projects, clinical/practice standards committees and/or quality-review boards</li> </ul>
--	--	--

- American Association of Colleges of Nursing. (2016). *Defining scholarship for the discipline of nursing*. <http://www.aacn.nche.edu/publications/position/defining-scholarship>
- Boyer, E. (1997). *Scholarship reconsidered: Priorities for the professoriate*. San Francisco, CA: Jossey-Bass

**Table 3: Research Faculty Criteria**

Research and Scholarship		
Assistant Professor	Associate Professor	Professor
<p><b>Developing a focused program of research and scholarship as evidence by:</b></p> <ul style="list-style-type: none"> <li>• peer-reviewed publications as first-author and co-author</li> <li>• prior funding for research training and research that includes internal and external awards</li> <li>• Regional and/or national presentation of research</li> </ul>	<p><b>A developed program of research and scholarship as evidenced by:</b></p> <ul style="list-style-type: none"> <li>• A significant level of external funding on peer reviewed, highly competitive awards</li> <li>• A consistent and building record of first-authored and co-authored peer reviewed research-based publications</li> <li>• Impact of publications on the field using current metrics</li> <li>• A mix of interdisciplinary and nursing specific publications</li> <li>• Mentoring of students at all levels in research</li> </ul>	<p><b>A developed and sustained program of research; as evidenced by:</b></p> <ul style="list-style-type: none"> <li>• Sustained significant level of externally funded, peer reviewed, highly competitive awards;</li> <li>• Publication of first-authored and co-authored peer reviewed research-based publications</li> <li>• Impact of publications on the field using current metrics</li> <li>• A mix of interdisciplinary and nursing specific publications</li> <li>• Mentoring of junior faculty and post doctoral fellow with co-authored publications</li> <li>• Mentoring of students at all levels with co-authored publications</li> <li>• Serving on expert panels</li> <li>• National/international recognition for scholarly contributions to the science</li> </ul>
Service		
Assistant Professor	Associate Professor	Professor
<p><b>Demonstrates potential for involvement in service.</b></p> <p><b>At the College Level:</b></p> <ul style="list-style-type: none"> <li>• Expressed interest in facilitating the college operations and activities, such as committee membership where appropriate</li> </ul> <p><b>Professional Services:</b></p> <ul style="list-style-type: none"> <li>• Membership in professional associations relevant to research program at state and national levels.</li> <li>• Membership in appropriate regional and national research networks and professional organizations</li> </ul>	<p><b>Demonstrated pattern of effective service by participation and beginning leadership activities in professional activities. Beginning national service is expected.</b></p> <p><b>At the College Level:</b></p> <ul style="list-style-type: none"> <li>• Actively participates in recruiting students and faculty for the college.</li> <li>• Serves on graduate students committees in the college</li> </ul> <p><b>Professional Services:</b></p> <ul style="list-style-type: none"> <li>• Actively participates in professional associations at state, national, and international levels, e.g., manuscript review, special committees, task</li> </ul>	<p><b>Demonstrated continuing pattern of leadership in professional activities.</b></p> <p><b>At the College and University Services:</b></p> <ul style="list-style-type: none"> <li>• Facilitates the ongoing function of college operations and activities</li> <li>• Actively participates in recruiting students and faculty for the college.</li> <li>• Serves on graduate student committees in the college and serves on committees in other university departments.</li> </ul> <p><b>Professional Services:</b></p> <ul style="list-style-type: none"> <li>• Provides leadership to professional associations at state, national, and international levels, e.g.,</li> </ul>

	<p>forces, advisory committees.</p> <ul style="list-style-type: none"> <li>• Manuscript review</li> <li>• Participates in regional and national research networks for service, research, scholarship, and continuing education</li> </ul>	<p>holding office, editorial responsibilities, special committees, task forces, advisory committees</p> <ul style="list-style-type: none"> <li>• Leadership roles in regional and national research networks for service, research, scholarship, and continuing education</li> <li>• Provides consultation and contributes to policy making boards of community, government, and health care agencies, at local, state, national and international levels</li> <li>• Provides professional services to peers, including reviewing course materials, manuscripts, proposals, and evaluations of instruction and research</li> </ul>
--	---	--