

**Appointments, Promotion, and
Tenure
Criteria and Procedures for
The Ohio State University
Department of Psychiatry and
Behavioral Health**

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I Preamble

This document is a supplement to Chapters 6 and 7 of the [Rules of the University Faculty](#); the annually updated procedural guidelines for promotion and tenure reviews in 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 Department and its faculty are subject.

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

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

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

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

II Department Mission

The Department of Psychiatry and Behavioral Health is dedicated to the following activities: education of skilled professionals in clinical psychiatry, psychology, neuroscience, and related disciplines; discovery, evaluation and dissemination of knowledge and technology; and the provision of innovative solutions for improving health, with an emphasis on personalized health care.

III Definitions

A Committee of the Eligible Faculty

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

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

1 Tenure-track Faculty

Initial Appointment Reviews

- For appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), the eligible faculty consists of all tenure-track faculty in the department. A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested..

Reappointment, Promotion, or Promotion and Tenure Reviews

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

2 Clinical Faculty

Initial Appointment Reviews

- For appointment (hiring) at senior rank (associate professor-clinical or professor-clinical), the eligible faculty consists of all tenure-track and all clinical faculty in the department. 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 nonprobationary clinical faculty of equal or higher rank than the position requested..

Reappointment, Contract Renewal, and Promotion Reviews

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

3 Research Faculty

Initial Appointment Reviews

- For appointment (hiring or appointment change from another faculty type) at senior rank (research associate professor or research professor), the eligible faculty consists of all tenure-track and all research faculty in the department. 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 nonprobationary research faculty of equal or higher rank than the position requested.

Reappointment, Contract Renewal, and Promotion Reviews

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

4 Associated Faculty

Initial Appointment Reviews

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

Reappointment, Contract Renewal, and Promotion Reviews

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

5 Conflict of Interest

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

6 Minimum Composition

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

B Promotion and Tenure Committee

The Department has a Promotion and Tenure Committee that assists the eligible faculty in managing the personnel and promotion and tenure issues. The committee consists of 3-5 professors and 2-4 associate professors, at least 3 of whom are tenure track faculty; the remaining may be non-probationary clinical faculty members. The committee's chair and membership are appointed by the Department chair. The term of service is three years, with reappointment possible. When considering cases involving associated faculty the Promotion and Tenure Committee may be augmented by an associated faculty member.

C Quorum

The quorum required to discuss and vote on all personnel decisions is a simple majority (greater than 50%) of the eligible faculty not on an approved leave of absence. Faculty on approved leave of absences may not participate in personnel decisions including promotion and tenure reviews. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the Department chair has approved an off-campus assignment.

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

D Recommendation from the Eligible Faculty

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

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

1 Appointment

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

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

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

IV Appointments

A Criteria

The Department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the Department. Important considerations include the individual's record to date in teaching, 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 Department. No offer

will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the Department. The search is either cancelled or continued, as appropriate to the circumstances.

1 Tenure-track Faculty

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

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

All faculty members have access to all pertinent documents detailing Department, College of Medicine, and University promotion and tenure policies and criteria. The most updated documents can be located at the [Office of Academic Affairs](#) website.

In the Department of Psychiatry and Behavioral Health each appointee must obtain the appropriate Ohio licensure and other required certifications if required for successful execution of their faculty responsibilities.

Instructor. An appointment to the rank of instructor is always probationary. An instructor does not have tenure and is considered for reappointment annually. Appointments at the rank of instructor are appropriate for individuals who could need time to establish a research program and set themselves up for the requirements to progress toward tenure. Appointments to this rank may also be made if all of the criteria for the position of assistant professor have been met with the exception that the candidate will not have completed a terminal degree, or other relevant training, at the time of the appointment. When an individual is appointed to the rank of instructor, the letter of offer should indicate the specific benchmarks and achievements required for promotion to assistant professor.

An appointment at the instructor level is limited to three years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. An instructor must be approved for promotion to assistant professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year. When an instructor has not met the expectations for moving from instructor to the rank of assistant professor by the beginning 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. Unless there are unique circumstances, the college recommends against requesting prior service credit. This request must be approved by the Department eligible faculty, the Department Chair, the Dean, and the Office of Academic Affairs and if approved is irrevocable except through an approved request to exclude time from the probationary period.

Assistant Professor. An appointment to the rank of assistant professor is always probationary. During a probationary period, a faculty member does not have tenure and is considered for

reappointment annually. Tenure cannot be awarded at the rank of assistant professor. An assistant professor must be reviewed for promotion and tenure no later than the mandatory review year (6th year of appointment for faculty without significant clinical responsibilities, 11th year of appointment for faculty with significant clinical service responsibilities); however, promotion and tenure may be granted by following the promotion and tenure review process at any time during the probationary period when the faculty member's record of achievement so merits. Similarly, a probationary appointment may be terminated at any time subject to the provision of University Rule [3335-6-08](#) and the provision of paragraphs (6), (H), and (I) of University Rule [3335-6-03](#).

Consistent with Faculty Rule, [3335-6-09](#) faculty members without clinical service responsibilities are reviewed for promotion & tenure no later than the 6th year as to whether promotion and tenure will be granted at the beginning of the 7th year. For individuals not recommended for promotion and tenure after the mandatory review, the 7th year will be the final year of employment. Faculty members with significant clinical service responsibilities are granted an extended probationary period of up to 11 years, including prior service credit, depending on the pattern of research, teaching, and service workload. An assistant professor with an extended probationary period is reviewed for promotion and tenure no later than the 11th year as to whether promotion and tenure will be granted at the beginning of the 12th year. For individuals not recommended for promotion and tenure after the mandatory review, the 12th year will be the final year of employment.

For appointments at the rank of assistant professor, prior service credit of up to three years may be granted for work experience at the time of the initial appointment. Doing so requires the approval of the eligible faculty, Department Chair, Dean, and Executive Vice President and Provost. Prior service credit shortens a probationary period by the amount of the credit and if approved is irrevocable except through an approved request to exclude time from the probationary period.

Criteria for appointment at the rank of Assistant Professor in the Tenure Track include:

- An earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience.
- Early evidence of excellence in scholarship as demonstrated by the initial development of a body of research, scholarship, and creative work. In addition, evidence must be provided that supports a candidate's potential for an independent program of scholarship and a strong likelihood of independent extramural research funding.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the "[Statement on Professional Ethics](#)" by the American Association of University Professors.
- In aggregate, accomplishments related to the above criteria should be sufficiently compelling that the appointee is judged to have significant potential to attain tenure and a distinguished record as a faculty member in the College of Medicine.

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

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

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

2 Clinical Faculty

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

The Department supports the Clinician-Scholar, Clinician-Educator, and Clinical-Excellence pathways. These appointments exist for faculty members with significant clinical duties who also engage in significant scholarship, education, and/or excel in clinical service delivery/clinical administration, respectively. Clinical Faculty members are expected to contribute to the Department's research, education, and/or service delivery missions. The Clinician-Scholar pathway reflects excellence in translational science, clinical research and health services (e.g., health care policy and comparative effectiveness research) as measured by publications and grant funding, respectively. While Clinician-Scholar faculty may serve as the MPI or PI on a grant proposal, securing extramural funding as MPI/PI is not required. However, participation as Co-I or collaborator in extramural funding proposals is expected. The Clinician-Educator pathway may reflect excellence as an educator as measured by teaching evaluations and innovative teaching practices, modules and publications. Alternatively, the Clinician Educator pathway may reflect an outstanding clinician who has a demonstrated record of educating colleagues and peers such as through invitations to serve as faculty on national continuing medical education programs. The Clinical Excellence pathway exists for faculty members who focus on exemplary clinical care or unique areas of emphasis in patient management. Faculty members on this pathway typically devote 80% or more of their effort to patient care or administrative service. Clinical-Excellence faculty attain recognition through the development, refinement, and/or expansion of clinical services. These faculty may build signature clinical programs and/or serve as preferred providers developing a regional or national reputation for clinical service expertise.

Clinical Faculty appointments are made in accordance with Faculty Rule [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the Department. All faculty members have access to all pertinent documents detailing Department, College of Medicine, and University promotion and tenure policies and criteria. The most updated documents can be located at the [Office of Academic Affairs website](#).

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

The initial contract for all clinical faculty members must be for a period of five years. The initial contract is probationary, with reappointment considered annually. Second and subsequent contracts for clinical assistant and associate professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for clinical professors must be for a period of at least three years and no more than eight years. There is also no presumption that subsequent contracts will be offered, regardless of performance. In addition, the terms of the contract may be renegotiated at the time of reappointment. Furthermore, each appointee must obtain the appropriate Ohio licensure and other required certifications, including medical staff privileges if required for successful execution of their faculty responsibilities.

Instructor Psychiatry and Behavioral Health, Clinical Faculty. Appointment is normally made at the rank of instructor of clinical Psychiatry and Behavioral Health when the appointee has not completed the requirements for the terminal degree, or other relevant training, at the time of the appointment. The Department will make every effort to avoid such appointments. When an individual is appointed as an instructor, the letter of offer should indicate the specific benchmarks and accomplishments that will be necessary for promotion to assistant professor. An appointment at the instructor level is limited to a three-year contract. When an instructor meets the criteria for promotion to assistant professor on the clinical faculty, a new letter of offer with a probationary period of three to five years will be issued. In the event, the instructor has not completed requirements for promotion to the rank of assistant professor by the end of the penultimate year of the contract period, a new contract will not be considered.

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

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study. Or anticipated completion of clinical residency and fellowship.
- Evidence of potential for contributions to scholarship, education or patient care.
- Post-doctoral clinical training in an appropriate area.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the [“Statement on Professional Ethics”](#) by the American Association of University Professors.

Assistant Professor of Psychiatry and Behavioral Health, Clinical Faculty. An earned terminal degree and the required licensure/certification in his or her specialty are the minimum requirements for appointment at the rank of assistant professor of Psychiatry and Behavioral Health, Clinical Faculty. Evidence of ability to teach is highly desirable.

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

This is the appropriate level for initial appointment of persons holding the appropriate terminal degree and the relevant clinical training,

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

- An earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience; and completion of requisite post-doctoral clinical training.
- Evidence of contributions to scholarship, education, community engagement or patient care and the potential to advance through the faculty ranks.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the [“Statement on Professional Ethics”](#) by the American Association of University Professors.

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

3 Research Faculty

Research faculty appointments exist for individuals who focus entirely on research. These appointments are intended for individuals who will have faculty level responsibilities in the research mission, comparable to the level of a Co-Investigator. Individuals who serve as laboratory managers or otherwise contribute to the research mission at a level comparable to that of a postdoctoral fellow should not be appointed on the research faculty but rather should be appointed as research scientists, potentially with adjunct faculty appointments (postdoctoral fellows are appointed as postdoctoral researchers). Appointments to the Research faculty are made in accordance with Chapter 7 of the Rules of the University Faculty [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the Department. Unless otherwise authorized by a majority vote of the Tenure Track faculty in a Department, Research faculty must comprise no more than twenty per cent of the number of Tenure Track faculty in the Department. In all cases, however, the number of Research faculty positions in a unit must constitute a minority with respect to the number of tenure-track faculty in the Department.

Tenure is not granted to research faculty.

Contracts will be for a period of at least one year and for no more than five years and must explicitly state the expectations for salary support. In general, research faculty appointments will

require 100% salary recovery. It is expected that salary recovery will be entirely derived from extramural funds. The initial contract is probationary, and a faculty member will be informed by the end of each probationary year as to whether he or she will be reappointed for the following year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

Research faculty members are eligible to serve on University committees and task forces but not on University governance committees. Research faculty members also are eligible to advise and supervise graduate and postdoctoral students and to be a principal investigator on extramural research grant applications. Approval to advise and supervise graduate students must be obtained from the graduate school as detailed in Section 13 of the [Graduate School Handbook](#).

Assistant Professor, Research Faculty. Appointment at the rank of research assistant professor requires:

- An earned doctorate or other terminal degree in the relevant field of study, or possession of equivalent experience.
- Completion of sufficient research training to provide the basis for specific expertise for contributing to the research mission.
- An initial record of scholarship that indicates effective collaboration and contribution to peer-reviewed research, reflected by co-authorship of peer-reviewed publications or funded effort on peer-reviewed grants.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the [“Statement on Professional Ethics”](#) by the American Association of University Professors.
- Strong potential for career progression and advancement through the faculty ranks.

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

4 Associated Faculty

Associated Faculty, as defined in the Rules of the University Faculty [3335-5-19](#), include “persons with practice titles, adjunct titles, visiting titles, and lecturer titles.” Persons with a tenure-track faculty title on an appointment of less than 50% FTE are associated faculty. Members of the associated faculty are not eligible for tenure, may not vote at any level of governance, and may not participate in promotion and tenure matters. Associated faculty appointments are for one to three years. Associated faculty may be reappointed.

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

- Associated clinical faculty with clinical responsibilities must be a licensed health care provider if required for successful execution of their faculty responsibilities.
- Have significant and meaningful interaction in one or more of the following mission areas of the College of Medicine:
 - a) Teaching of Department trainees: For community providers providing outpatient teaching of Department trainees, meaningful interaction consists of supervising medical students for at least one month out of the year.
 - b) Research: These faculty members may collaborate with the Department on research projects or other scholarly activities.
 - c) Service to the Department: This includes participation in committees or other leadership activities (e.g., membership in the Medical Student Admissions Committee).

The below titles are used:

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments are uncompensated and are given to individuals who volunteer academic service to the Department for which a faculty title is appropriate and/or required. Examples of such service could include but are not limited to serving on graduate student committees or teaching and evaluating medical students. Criteria for appointment at advanced rank are the same as for promotion. Adjunct faculty members are eligible for promotion (but not tenure).

Instructor-Practice, Assistant Professor-Practice, Associate Professor-Practice, Professor-Practice. Practice associated clinical appointments may be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated academic service such as clinical supervision to the Department, for which a faculty title is appropriate. Compensated appointments may be given to full time clinicians who are not appointed to the clinical or tenure track faculty.

This category of Associated faculty may have a paid appointment at OSU, OSUP (Ohio State University Physicians, Inc.), or Nationwide Children's Hospital (NCH) and require or otherwise benefit from a faculty appointment (e.g. for clinical credentialing or teaching a course). They may have another paid appointment at OSU (e.g. physician), but their faculty appointment can be unpaid. This may be appropriate to use for faculty appointments that are expected to be less than 3 years or for faculty who are paid through OSU, OSUP, or NCH but are 100% out in the community and less engaged in our academic missions.

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

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

Senior Lecturer. Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five

years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion.

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

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. Visiting faculty appointments may either be compensated or uncompensated. Faculty members on temporary leave from another academic institution are appointed as a visiting faculty at the same rank held in that other institution. Visiting faculty appointments may also be used for new senior rank candidates for whom the appointment process is not complete at the time of their employment. In that case the visiting rank is determined by the criteria for the appointment to which they will be ultimately employed. They may not be reappointed for more than three consecutive years.

Appointment: Associated Faculty at Advanced Rank

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

5 Emeritus Faculty

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

Faculty will send a request for Emeritus faculty status to the Department chair outlining academic performance and citizenship. The Committee of Eligible faculty (tenured and non-probationary clinical associate professors and professors) will review the application and make a recommendation to the Department chair. The Department chair will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting Emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-05-04](#), Emeritus status will not be considered.

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

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

and tenure matters.

6 Courtesy Appointments for Faculty

A non-salaried appointment for a University faculty member from another Department is considered a Courtesy appointment. An individual with an appointment in one Department may request a Courtesy appointment in another Department when that faculty member's scholarly and academic activity overlaps significantly with the discipline represented by the second unit. Such appointments must be made in the same faculty rank/track, using the same title, as that offered in the primary Department. Courtesy appointments are warranted only if they are accompanied by substantial involvement in the academic and scholarly work of the Department.

B Procedures

See the [Policy on Faculty Recruitment and Selection](#) and the Policy on [Faculty Appointments](#) for information on the following topics:

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

1 Tenure-track Faculty

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Searches for tenure-track faculty proceed as follows:

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

The Department chair, in consultation with the Chief Diversity Officer and/or Department Director of Diversity, Equity, and Inclusion, 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 Department.

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

The search committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants and minimizing bias in the search process.
- Develops a search announcement for internal posting in the university Job Postings through the [Office of Human Resources](#) and external advertising, subject to the Department chair's approval.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. The university may only award tenure to faculty members who are: (1) U.S. citizens or nationals; (2) permanent residents ("green card" holders); (3) asylees or refugees; or (4) individuals otherwise described as "protected individuals" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b).
- Screens applications and letters of recommendation and presents its findings to the Department Chair.

Virtual or on-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students, residents, or other trainees, where appropriate; the Department chair; and the dean or designee. In addition, it is preferred that candidates make a presentation to the faculty other interested parties on their scholarship and may teach a class. The latter could be an actual class or a mock instructional situation. All candidates interviewing for a particular position must follow the same interview format.

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

If the offer involves senior rank (associate professor or above), solicitation of external letters of evaluation is required following the same guidelines as for promotion reviews. The eligible faculty members must also vote on the appointment. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

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

The department is advised to discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the Office of International Affairs. The university will not grant tenure unless an individual is a (1) U.S. citizen or national; (2) permanent resident ("green card" holder); (3) asylee or refugee; or (4) an individual otherwise described as a "protected individual" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b). The Department will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

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 virtual or on-campus interview may be on clinical/professional practice rather than scholarship, and exceptions to a national search require approval by the college dean.

3 Research Faculty

Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that during the virtual or on-campus interview the candidate is not asked to make a presentation, and exceptions to a national search require approval by the college dean.

4 Track Transfer

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

Transfer: Tenure Track to Clinical Faculty

If faculty members' activities become more aligned with the criteria for appointment to the Clinical faculty, they may request a transfer. A transfer request must be approved by the Department Chair, Dean, and Executive Vice President and Provost. The first appointment to the new clinical faculty is probationary; and tenure, or the possibility thereof, is revoked.

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

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

Transfer: Tenure Track to Research Faculty

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

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

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

Transfer: Clinical or Research to Tenure Track

Transfer from the Clinical faculty or Research faculty to the Tenure Track is not permitted, but Clinical and Research faculty are eligible to apply for Tenure Track positions through a competitive national search.

5 Associated Faculty

Initial appointments to a paid Associated faculty position should follow the same procedures as those utilized by the Department for clinical faculty, with the exception that a national search is not required. Appointments to an unpaid associated faculty position require no formal search process.

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

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

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

6 Courtesy Appointments for Faculty

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

V Annual Performance and Merit Review

The Department follows the requirements for the annual performance and merit review as set forth in the [Policy on Faculty Annual Review](#), which stipulates that such reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment. The annual performance and merit review of a faculty member is the responsibility of the Department Chair.

According to the policy, the purposes of the review are to:

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

The review is based on expected performance in teaching, scholarship, and service as set forth in the Department's guidelines on faculty duties and responsibilities in its [Pattern of Administration](#); on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.

Per Faculty Rule [3335-3-35](#), the department chair is 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.

A Documentation

For their annual performance and merit review, faculty members must submit the following documents to the Department chair no later than March 1:

- Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 (*required for probationary faculty*); other faculty are encouraged to provide this at the time of annual review, as well;
- Annual Evaluation Form, which will be made available to all faculty in an accessible place (*all faculty*);
- An updated CV, which will be made available to all faculty in an accessible place (*all faculty*).

The Department Chair or their designee will supply each faculty member with a written evaluation of their performance, in narrative format. Annual performance and merit reviews must include an opportunity for a face-to-face meeting with the Department Chair or their designee. If a Chair's designee conducts the annual review, the designee will apprise the Chair of each faculty member's performance.

B Probationary Tenure-track Faculty

Every probationary tenure-track faculty member is reviewed annually by the Department chair, assisted by the Vice Chairs/Division Directors, who meets with the faculty member to discuss his or her performance, future plans, and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

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

If the Department Chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-03](#)) is invoked. Following completion of the comments process, the complete dossier is

forwarded to the college for review and the Dean makes the final decision on renewal or nonrenewal of the probationary appointment.

1 Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the Dean makes the final decision regarding renewal or nonrenewal of the probationary appointment. The objective of this review will be to determine if adequate progress towards the achievement of promotion and tenure is being made by the candidate.

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

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

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

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

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

2 Eighth Year Review

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

3 Exclusion of Time from Probationary Period

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

C Annual Review Procedures: Tenured Faculty

Associate professors are reviewed annually by the Department chair or designee, who submits a written performance review to the Department chair along with comments on the faculty member's progress toward promotion. The Department chair or designee conducts an independent assessment;

meets with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the Department chair or designee, who meets with the faculty member to discuss his or her performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the Department, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students or junior faculty; and outstanding service to the Department, the university, the community, and their profession, including their support for the mentoring and professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

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

D Annual Review Procedures: Clinical Faculty

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

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

There is no presumption of renewal of appointment.

E Annual Review Procedures: Research Faculty

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

In the penultimate contract year of a research faculty member's appointment, the Department Chair 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.

There is no presumption of renewal of appointment.

F Annual Review Procedures: Associated Faculty

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the Department Chair, or designee, who prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the Department Chair will decide whether or not to reappoint. The Department Chair's recommendation on reappointment is final.

Uncompensated associated faculty members will be reviewed annually by the P&T Associated Faculty Subcommittee who will submit recommendations with regard to re-appointment to the Department chair.

G Salary Recommendations

The Department Chair makes annual salary recommendations to the Dean, who may modify them. The recommendations are based on the current annual performance and merit review as well as on the performance and merit reviews of the preceding 24 months. For clinical faculty, salary recommendations are under the auspices of the College of Medicine Compensation Plan.

In formulating recommendations, the Department Chair consults with the Department Executive Committee. As a general approach to formulating salary recommendations, the Department Chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues. Salary increases should be based upon these considerations.

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

Faculty who fail to submit the required documentation 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

A Criteria and Documentation

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

In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty

members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances, superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.

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

1 Promotion to Associate Professor with Tenure

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

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

Achievement of national recognition and impact is a prerequisite for promotion to Associate Professor and awarding of tenure.

Scholarship: Demonstration of national recognition and impact for a thematic independent program of scholarship is an essential requirement for promotion to Associate Professor and the award of tenure. Independence must be reflected in the record of scholarship (e.g., reflected by dissemination of new knowledge evidenced by publications and extramural funding). Scholarship is broadly defined as the discovery and dissemination of new knowledge. Achievement of excellence in scholarship is demonstrated by a substantial body of original knowledge that is published in high quality, peer-reviewed journals or proceedings, and achievement of a national reputation for expertise and impact in one’s field of endeavor. Such endeavors might include laboratory investigation, development of innovative programs, theoretical insight, innovative interpretation of an existing body of knowledge, clinical science, public health and community research, implementation science, and diffusion research, among many potential others. While individual circumstances may vary, both the quantity and quality of publications should be considered. Metrics that are useful in assessing a candidate’s record of scholarship include but are not limited to the total number of publications since their appointment as an assistant professor, the number of citations of their publications, the trajectory of the publication and/or citation record, the relative proportion of first/senior authorships. The impact factor of a journal may or may not reflect the quality of the scholarship. For example, in some areas of research the best journal in that area may have a relatively low impact factor but may be highly cited. Conversely,

publication in journals with a very high impact factors is a reflection of broader interest, but does not in of itself demonstrate the impact of research. Impact may be demonstrated through non-traditional metrics. This can include but is not limited to social media penetration, blog subscription, Altmetrics score, non-academic invited presentations, or collaborations that advance the mission of the university or the field, and interviews by reputable national media outlets on scholarly topics, however, this does not in and of itself demonstrate the impact of research.

A sustained record of scholarly productivity, reflected by both quality and quantity, as an assistant professor is required for promotion to the rank of associate professor. Candidates for promotion to associate professor should ideally have 15-25 peer-reviewed publications since their appointment as an assistant professor. It is expected that the pattern of scholarship will include an increasing proportion of publications as first, senior or corresponding author. Specific metrics in support of excellence in scholarship may be discipline-specific and may be adjusted based on the overall pattern of responsibilities. For example, the range of publications may be slightly adjusted in relation to the proportion of the faculty member's effort that is allocated to clinical service.

The dossier will require the demonstration of impact, not just the potential for impact. Although review articles may form a portion of the publication list (typically less than 30%), and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion. Considered together, demonstration of impact and a national reputation of an independent program of research is a prerequisite for promotion to Associate Professor and awarding of tenure. Participation in collaborative, multidisciplinary research and team science is highly valued. In cases where a faculty member's collaborative scholarship results primarily in middle authorship, the recognition and impact of their scholarship will be reflected through other indicators such as, but not limited to, the indispensability of the candidate's role and contribution in generating the publication(s), invitations to serve on editorial boards, study sections, national invitations to speak, etc.

Evidence of sustained or multiple grant support is another crucial indicator of expertise in the field. Candidates for promotion to associate professor with tenure who are without significant clinical responsibilities must have obtained significant funding (NIH or comparable) as a principal investigator (PI) or Multiple Principal Investigator (MPI) on a R01, P01, U54, or have obtained a mid-career K award or other comparable funding, including but not limited to SAMHSA, PCORI, NSF, DoD, USDA, AHRQ, DARPA, RWJF, Commonwealth Fund, or Kaiser Family Foundation. They should ideally have demonstrated sustainability of their research program by renewal of the award and/or by garnering a second distinct nationally competitive, peer reviewed grants. The latter may include support from prominent national charitable foundations (e.g., American Heart Association, American Diabetes Association, American Cancer Society, the Lupus Foundation, the March of Dimes, etc.), a major industry grant, or other federal entities such as the AHRQ, Centers for Disease Control and Prevention, Department of Defense and the National Science Foundation. In some circumstances, (e.g. specific techniques) faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple grants will satisfy the requirement for extramural funding.

Candidates for promotion to associate professor with tenure who have significant clinical responsibilities are expected to obtain extramural (NIH or comparable, as defined above) funding as a PI or MPI to support their research program. Depending on the extent of clinical responsibilities, sustained funding through pharmaceutical or instrumentation companies for investigator-initiated proposals is acceptable. Serving as the site-PI for a multi-center trial would not satisfy the expectation for extramural funding on the tenure track. Faculty members who

generate support for their research programs through creation of patents that generate licensing income or spin-off companies would meet the equivalent criteria of extramural funding.

Although the total body of scholarship over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on scholarly achievements while a faculty member at The Ohio State University. It should be appreciated that evidence of scholarship below the specified range does not preclude a positive promotion decision and that scholarship exceeding the specified range is not a guarantee of a positive tenure or promotion decision, especially if it occurs in isolation or in the context of poor performance in other areas, such as evidence of teaching excellence.

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

Teaching and Mentoring: A strong and consistent record of effective teaching and mentoring is required for promotion and tenure. The dossier must clearly document the faculty member's contribution and the impact of these efforts. Excellence is demonstrated by positive evaluations by undergraduate, graduate, and post-graduate learners, and/or local colleagues and national peers. Teaching awards and other honors are also highly supportive of teaching effectiveness. Teaching effectiveness may also be reflected by documented impact on teaching and training programs, including curricular innovation, new teaching modalities, such as web-based design, or methods of evaluating teaching, program or course development, publications on teaching, and societal leadership in education. Development of impactful, innovative programs that integrate teaching, research and patient care are valued.

Service: Service includes administrative service to OSU, excellent patient care, clinical program development, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Evidence of service within the institution can include but is not limited to appointment or election to Department, College of Medicine, hospital, and/or University committees or working groups, or leadership of programs. Evidence of service to the faculty member's discipline or public and private entities beyond the University can include, but is not limited to ad hoc journal reviews, editorial boards or editorships; grant reviewer for national funding agencies; elected or appointed offices held and other service to local and national professional societies; service on panels and commissions; and professional consultation to industry, government, and education. Similarly, innovative programs that advance the mission of the university, such as creation and sustenance of a program to deliver healthcare to the community, or design and implementation of a novel program to reduce race or gender based discrimination in the within the Department, College, University or beyond, can be considered service activities. Professional expertise provided as compensated outside professional consultation alone is insufficient to satisfy the service criterion.

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

2 Promotion to Associate Professor in Advance of Tenure

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

The Department may propose a faculty member for promotion consideration (without tenure) in cases where a faculty member is making progress but has not achieved the necessary requirements for tenure. In addition, faculty committees (at the Department or College) or administrators (Chair or Dean) may determine that a faculty member's accomplishments do not merit tenure and may recommend promotion in advance of tenure even if a faculty member has requested promotion with tenure. Promotion in advance of tenure may only occur if a candidate is not in the mandatory review year. If a clinician candidate is promoted in advance of tenure, the tenure review must occur within six years, and no later than the mandatory review year, whichever comes first.

Scholarship: Evidence of substantial progress toward the establishment of a thematic program of scholarship as reflected by a consistent and increasing number of peer reviewed publications as first or senior author. Candidates for promotion to associate professor in advance of tenure should ideally have 10-15 peer-reviewed publications since their appointment as an assistant professor. Evidence for emerging national recognition may include but is not limited to invitations to serve as ad hoc journal reviewer and invited lectures outside of the university.

Criteria for a promising trajectory in extramural funding might be reflected by serving as a PI on an R21, R03, K awards or equivalent grants, co-I on an R01 NIH grant award, as PI on foundation or other extramural grants.

Evidence of scholarship below the specified range does not preclude a positive promotion decision and evidence of scholarship above the specified range does not guarantee a favorable tenure decision.

Teaching and Mentoring: Indicators of teaching consistent with promotion in advance of tenure might include a record of teaching excellence involving a single group of trainees, and/or a clear trend of improving teaching evaluations. Teaching excellence may also be demonstrated through evaluations for presentations at other academic institutions, scientific or professional societies, or other hospitals. Programs that improve the cultural competence of or access to teaching for underserved populations are particularly valued.

Service: Indicators of service consistent with promotion in advance of tenure might include service primarily within the institution with the beginning of a record of service outside the institution. This might also include activities as an ad hoc reviewer for journals, or service on the advisory board for local organizations. Similarly, innovative programs that advance the mission of the university, such as creation and sustenance of a program to deliver healthcare to the

community, or design and implementation of a novel program to reduce race or gender based discrimination in the within the Department, College, University or beyond, can be considered service activities.

3 Promotion to Professor

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

Scholarship: A sustained record of external funding and an enhanced quality and quantity of scholarly productivity as an Associate Professor is required for promotion to Professor. Candidates for promotion to professor should ideally have 25-35 peer-reviewed publications since their promotion to associate professor. It is expected that the pattern of scholarship will include a substantial proportion of publications as senior or corresponding author. Candidates for promotion will be expected to have developed and maintained nationally competitive and peer reviewed extramural funding to support their research program including sustained NIH (or equivalent) funding. At a minimum, candidates for promotion to professor who do not have clinical responsibilities must be a PI or multiple-PD/PI on at least one NIH funded R01 or equivalent grant with a history of at least one competitive renewal and another nationally competitive grant, or have simultaneous funding on two NIH R01 (or equivalent) awards. This may include support from prominent national charitable foundations (e.g., American Heart Association, American Lung Association, American Diabetes Association, American Cancer Society, the Lupus Foundation, the March of Dimes, etc.), a major industry grant, or other federal entities such as the Centers for Disease Control and Prevention, Department of Defense, Substance Abuse and Mental Health Services Administration, and the National Science Foundation. In some circumstances, (e.g. specific techniques) faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple NIH grants will satisfy the requirement for extramural funding.

Candidates for promotion to Professor who have significant clinical responsibilities are expected to obtain extramural NIH or comparable funding as defined above as a PI or MPI to support their research program. Depending on the extent of clinical responsibilities, sustained funding through pharmaceutical or instrumentation companies for investigator-initiated proposals is acceptable. Serving as the site-PI for a multi-center trial would not satisfy the expectation for extramural funding on the tenure track. Similarly, faculty members who generate support for their research programs through creation of patents that generate licensing income or spin-off companies would meet the equivalent criteria of extramural funding. In some circumstances (e.g. specific techniques), a faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple NIH grants will satisfy the requirement for extramural funding.

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

Teaching and Mentoring: A record of teaching excellence as an Associate Professor must continue to justify promotion to the rank of Professor. Evidence may include, but is not limited to outstanding student, resident, fellow, local colleagues, and/or national peer evaluations, course or workshop leadership and design, a training program directorship, teaching awards, and organization of national course and curricula and participation in specialty boards or Residency Review Committees of the Accreditation Council for Graduate Medical Education. Active participation as a mentor in training grants such as NIH T32 or K- awards is highly valued as a teaching and mentoring activity. Programs that improve the cultural competence of or access to teaching for underserved populations are particularly valued. Candidates with clinical duties may demonstrate consistent and effective teaching of trainees and practicing clinicians, and leadership in the administration of clinical training programs.

Mentorship of junior faculty is expected for candidates for promotion to Professor. It is presumed that this will take the form of a primary mentoring relationship, and not just ad hoc career coaching. Candidates should provide evidence of the impact of their mentorship.

Service: Promotion to the rank of Professor requires service to the COM, OSU, and in national and international professional societies. Service can include but is not limited to leadership roles on OSU committees, in professional organizations and journal editorships. Evidence of the provision of professional expertise could include roles as a board examiner, service on panels and commissions, program development, and professional consultation to industry, government, and education. Similarly, innovative programs that advance the mission of the university, such as creation and sustenance of a program to deliver healthcare to the community, or design and implementation of a novel program to reduce race or gender based discrimination in the within the Department, College, University or beyond, can be considered service activities.

4 Clinical Faculty

Promotion to Assistant Professor of Psychiatry and Behavioral Health, Clinical Faculty. For promotion to assistant professor of Psychiatry and Behavioral Health, Clinical Faculty, a faculty member must complete his/her doctoral degree and meet the required licensure/certification in his or her specialty and be performing satisfactorily in teaching, professional practice, and service.

Promotion to Associate Professor of Psychiatry and Behavioral Health, Clinical Faculty. For promotion to associate professor of Psychiatry and Behavioral Health, Clinical Faculty, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of this Department. Board certification (or its equivalent) is expected. Specific criteria in teaching and service for promotion to associate professor of clinical Psychiatry and Behavioral Health differ, based on the pathway chosen (Clinician Scholar, Clinician Educator, clinical excellence), as outlined below. For clinical faculty, excellence in scholarship alone is not sufficient for promotion.

a. CLINICIAN SCHOLAR PATHWAY

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

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

Scholarship: Demonstration of impact and a national reputation for scholarship is a prerequisite for promotion to Associate Professor. The candidate must demonstrate scholarship typically as reflected by primary, senior or corresponding author of peer-reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational or clinical research projects or in clinical trials. Participation in collaborative, multidisciplinary research and team science is valued. Faculty members who participate in team science may have a record of scholarship primarily as middle author. In these cases, there must be evidence from other domains that demonstrate at the national level the faculty member's unique expertise (e.g., invitation to serve on study sections, invitation to speak at national meetings). In general, a range of 10-20 peer reviewed publications since appointment to Assistant Professor is expected. The dossier will require the demonstration of impact, not just the potential for impact. Although review articles may form a portion of the publication list (typically less than 30%), and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion.

Faculty on this pathway should have acquired external funding in support of their program of scholarship. Candidates should have a track record of funding by foundation, industry, NIH or comparable agencies (e.g., CDC, NSF, DoD, USDA, AHRQ, DARPA, SAMHSA, DARPA, RWJF, Commonwealth Fund or Kaiser Family Foundation). Alternatively, entrepreneurship and inventorship are also evidence of scholarly activity.

Service: Service is broadly defined to include administrative service to the University, exemplary patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Professional service could include, but is not limited to, peer reviews of manuscripts and grant applications, serve on editorial boards, leadership positions in professional societies, and development of innovative programs that advance the mission of the university, such as creation and sustenance of a program to deliver healthcare to the community, or design and

implementation of a novel program to reduce race or gender based discrimination in the within the Department, College, University or beyond.

b. Clinician Educator Pathway

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

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

Service: Service is broadly defined to include administrative service to the University, exemplary patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Professional service could include, but is not limited to, peer reviews of manuscripts and grant applications, serve on editorial boards, leadership positions in professional societies, service to the community as pertains to the candidate's specialty, development of innovative programs that advance the mission of the university, such as creation and sustenance of a program to deliver healthcare to the community, or design and implementation of a novel program to reduce race or gender based discrimination within the Department.

Scholarship: The candidate must demonstrate contributions to scholarship, a portion of which should be peer-reviewed journal publications. Candidates must demonstrate the impact of their scholarship. Faculty in the Clinician Educator Pathway may focus on the pedagogy of education and publish in this domain. Examples include papers regarding innovative teaching techniques, scholarly review articles and book chapters focused on education theory, new curricula and methods of evaluation. Alternatively, other faculty members in the Clinician Educator Pathway may publish works based on their areas of clinical expertise which form the basis for their teaching of colleagues and peers. These may

include, but are not limited to review papers, book chapters as well as original investigator-initiated studies related to their area of clinical practice. Some faculty members may combine these two areas of career emphasis. For both types of faculty careers, development of web-based or video-teaching modules and other digital media are considered to be published works. In the current era of team and collaborative scholarship, it is recognized that meaningful scholarship is not uniformly represented by first or senior authorship. Works in which the faculty member's individual and identifiable expertise was essential to the publication are regarded as having merit equivalent to those that are first or senior author. A range of 10-15 scholarly written or digital publications of this type since appointment as an Assistant Professor is suggested as a scope of work consistent with promotion to Associate Professor. However, this range does not represent an inflexible requirement for promotion.

c. Clinical Excellence Pathway

Faculty members with predominantly clinical or clinical administrative responsibilities (ordinarily 80% or greater) may be considered for promotion based on clinical excellence. These faculty are recognized for the scholarship of practice or application which consists of making novel contributions to the advancement of the practice in their field. Local recognition for outstanding clinical care is a hallmark of qualification for Associate Professor on the Clinical Excellence Pathway. National recognition is not a requirement for faculty candidates being considered for Associate Professor on the Clinical Excellence Pathway. The awarding of promotion to the rank of Associate Professor on the Clinical Excellence Pathway must be based upon convincing evidence that the candidate has demonstrated a level of excellence and a record of impact relating to clinical care. Promotion will not be granted purely on the basis of length of service to the institution, clinical productivity, or satisfactory job performance. A faculty member who qualifies for promotion on this pathway should have supportive annual evaluations that document clinical effort in the years leading up to promotion on this pathway.

These faculty are expected to support the research and teaching mission of the Department, but the focus of the promotion review is on demonstration of clinical excellence. The documentation and demonstration of outcomes or impact is required. It is not expected that candidates will meet all of the examples below, but meeting only one will not satisfy the demonstration of collective impact of excellence.

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

1. Multiple lines of evidence supporting excellence in clinical performance, including discipline relevant clinical measures such as, but not limited to quality indicators, mortality metrics, complication rates, turnaround times, readmission rates, process improvements and patient satisfaction rates where performance measures can easily be internally and externally benchmarked for comparison. Clinical productivity metrics (e.g. wRVU) per se, are not sufficient for supporting excellence in clinical performance.
2. Preferred provider recognition. Referral patterns or other metrics that indicate acknowledgment of a faculty member's expertise such as, but are not limited to, the number of cases referred for a second opinion, patients referred from other states or other regions within Ohio.
3. A record that demonstrates that a faculty member is frequently consulted by health care providers from outside the OSU/NCH system for advice about patient care.

4. Evidence that health care providers from other medical centers come to OSU/NCH for training specifically by the faculty member, or request proctoring at their home institution by the faculty member.
5. A record that demonstrates the faculty member has been invited to lecture locally, regionally, or at other hospitals, academic medical centers or statewide professional societies.
6. Clinical program development. Evidence that a faculty member has developed a new program or led improvements in an existing program and that subsequent to those innovations the success of the program has materially improved, or the program has been duplicated or adopted within the Medical center or by other institutions or practices.
7. Evidence that a faculty member has developed clinical innovations that have been adopted by other health care providers within or outside the Medical Center/NCH.
8. Evidence that the faculty member participates as an instructor in local or statewide courses or seminars.
9. Selection for inclusion in physician rankings such as Best Doctors, Castle-Connolly, U.S. News Physicians Survey or similar rankings.
10. Receipt of awards from local, state, national organizations for clinical excellence.
11. Participation in the development of institutional or statewide practice guidelines.
12. Publications in which the faculty member is first or senior author that reflect clinical expertise and proficiency (review articles, book chapters, etc.).

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

a. Clinician Scholar Pathway

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

Teaching and Mentoring: A strong and consistent record of effective teaching and mentoring is required for promotion to Professor. This may be demonstrated by positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching evaluations may be based on presentations internally or at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, etc. Teaching awards and other honors are also supportive of a strong teaching record but are not required. Peer evaluation is required on a recurring basis for all faculty members (see dossier documentation section). Candidates should demonstrate consistent effective teaching of trainees and practicing clinicians, and leadership in the administration of clinical training programs.

Mentorship of junior faculty is an expectation for faculty being considered to the rank of Professor. It is presumed that this will take the form of a primary mentoring relationship,

and not just ad hoc career coaching. Candidates must demonstrate evidence of mentoring or other career development activities for other faculty members. Active participation as a mentor in training grants such as NIH T32 or K-awards and other such mentored programs is very highly valued as a teaching and mentoring activity.

Scholarship: Demonstration of a sustained and expanded impact and national reputation for scholarship is a prerequisite for promotion to Professor. The candidate must demonstrate scholarship typically as reflected by primary, senior or corresponding author of peer-reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational or clinical research projects or in clinical trials. Participation in collaborative, multidisciplinary research and team science is highly valued. Faculty members who participate in team science may have a record of scholarship primarily as middle author. In these cases, there must be evidence from other domains that demonstrate at the national level the faculty member's unique expertise (e.g., invitation to serve on study sections, invitation to speak at national meetings). In general, a range of 20-30 peer reviewed publications since appointment to Associate Professor is expected. The dossier will require the demonstration of impact, not just the potential for impact. Although review articles may form a portion of the publication list and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will also contain peer-reviewed research articles, books, and book chapters or reviews.

Faculty on this pathway should have acquired external funding in support of their program of scholarship. Candidates should have a track record of being funded by foundation, industry, NIH or comparable agencies (e.g., CDC, NSF, DoD, USDA, ARHQ, DARPA, SAMHSA, RWJF, Commonwealth Fund, or Kaiser Family Foundation). Alternatively, entrepreneurship and inventorship are also evidence of scholarly activity.

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

b. Clinician Educator Pathway

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

Teaching and Mentoring: A documented record of sustained teaching and mentoring excellence is required for promotion. Candidates must demonstrate the impact of their teaching and mentoring. Sustained positive evaluations by undergraduate, graduate, post-graduate learners, local colleagues and/or national peers are required. Multiple teaching awards and

other honors are indicative of this level of teaching excellence but are not required. Candidates must demonstrate favorable impact on teaching and training programs, such as curriculum/web-based innovation, new teaching modalities or methods of evaluating teaching, and/or program or course development. Other examples include the development of multiple impactful, innovative programs that integrate teaching, research and patient care. Teaching excellence may also be demonstrated through committee appointments in national education committees such as Accreditation Council for Graduate Medical Education, National Medical Association, or Association of American Medical Colleges, including specialty boards or professional societies at national level.

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

Service: Service to the institution and profession is an expectation for promotion to Professor. Service is broadly defined to include administrative service to the University, exemplary patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Professional service could include, but is not limited to, peer reviews of manuscripts and grant applications, serve on editorial boards, leadership positions in professional societies, development of innovative programs that advance the mission of the university, such as creation and sustenance of a program to deliver healthcare to the community, or design and implementation of a novel program to reduce race or gender based discrimination in the within the Department, College, University or beyond . In addition, invitations to serve as external evaluators for promotion candidates from peer institutions is a reflection of national reputation.

Scholarship: The candidate must demonstrate contributions to scholarship, a portion of which should be peer-reviewed journal publications. Candidates must demonstrate the impact of their scholarship. Faculty in the Clinician Educator Pathway may focus on the pedagogy of education and publish in this domain. Examples include papers regarding innovative teaching techniques, scholarly review articles and book chapters focused on education theory, new curricula and methods of evaluation. Alternatively, other faculty members in the Clinician Educator Pathway may publish works based on their areas of clinical expertise which form the basis for their teaching of colleagues and peers. These may include, but are not limited to, review papers, book chapters as well as original investigator-initiated studies related to their area of clinical practice. Some faculty members may combine these two areas of career emphasis. Development of web-based or video-teaching modules and other digital media are considered to be published works. In the current era of team and collaborative scholarship, it is recognized that meaningful scholarship is not uniformly represented by first or senior authorship. Works in which the faculty member's individual and identifiable expertise was essential to the publication are regarded as having merit equivalent to those that are first or senior author. A range of 15-20 scholarly written or digital publications of this type since appointment or promotion to associate professor is suggested as a scope of work consistent with promotion to Professor. However, this range does not represent an inflexible requirement for promotion.

c. Clinical Excellence Pathway

Faculty members with predominantly clinical or clinical administrative responsibilities (ordinarily 80% or greater) may be considered for promotion based on clinical excellence. .

These faculty have distinguished themselves by having particularly outstanding clinical outcomes. These faculty are recognized for the scholarship of practice or application which consists of making novel contributions to the advancement of the practice in their field. The awarding of promotion to the rank of Professor in the Clinical Excellence Pathway must be based upon convincing evidence that the candidate has demonstrated a sustained and enhanced level of excellence in clinical care and has developed a national impact and recognition since being appointed to the rank of Associate Professor. Mentorship of junior faculty is an expectation for faculty being considered to the rank of Professor. National awards for clinical excellence and innovation are clear indicators of achievement.

Promotion will not be granted solely on the basis of length of service to the institution, time in rank, clinical productivity, or satisfactory job performance. A faculty member who qualifies for promotion on this pathway should have supportive annual evaluations that document clinical effort since achieving the rank of Associate Professor. These faculty are expected to support the research and teaching mission of the Department, but the focus of the promotion review is on demonstration of clinical excellence. The documentation and demonstration of outcomes or impact is required. It is not expected that any candidate will meet all of the examples below, but meeting only one will not satisfy the demonstration of collective impact of excellence.

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

1. Multiple lines of evidence supporting excellence in clinical performance, including discipline relevant clinical measures such as, but not limited to quality indicators, mortality metrics, complication rates, turnaround times, readmission rates, process improvements and patient satisfaction rates where performance measures can easily be internally and externally benchmarked for comparison. Clinical productivity metrics (e.g. wRVU) per se, are not sufficient for supporting excellence in clinical performance.
2. Preferred provider recognition. Referral patterns or other metrics that indicate acknowledgment of a faculty member's expertise such as, but are not limited to the number of cases referred for a second opinion, patients referred from other states or other countries.
3. A record that demonstrates that a faculty member is frequently consulted by health care providers from outside the OSU/NCH system for advice about patient care.
4. Evidence that health care providers from other medical centers outside of Ohio come to OSU/NCH for training specifically by the faculty member, or request proctoring at their home institution by the faculty member.
5. A record that demonstrates the faculty member has been invited to lecture nationally at hospitals, academic medical centers or national professional societies.
6. Clinical program development. Evidence that a faculty member has developed a new program or led improvements in an existing program and that subsequent to those innovations the success of the program has materially improved, or the program has been duplicated or adopted within the Medical center or by other institutions or practices.
7. Evidence that a faculty member has developed clinical innovations that have been adopted by other health care providers within or outside the OSU/NCH.
8. Evidence that the faculty member participates as an instructor in statewide or national courses or seminars.
9. Selection for inclusion in physician rankings such as Best Doctors, Castle-Connolly, U.S. News Physicians Survey or similar rankings.
10. Receipt of awards from state or national organizations for clinical excellence.

11. Participation in the development of national practice guidelines.
12. Publications in which the faculty member is first or senior author that reflect clinical expertise and proficiency (review articles, book chapters, etc.).

5 Research Faculty

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

Promotion to Research Associate Professor.

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

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

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

Promotion to Research Professor.

The awarding of promotion to the rank of Research Professor must be based upon convincing evidence that the candidate has established a national level of recognition and impact beyond that which was established for promotion to associate professor. This may be reflected by (but not limited to) invitations to review manuscripts or grant applications, invitations to lecture at scientific societies or other universities, consultation with industry or governmental agencies, requests for collaboration from other universities, request to serve in central roles on multi-center studies, etc.

Research faculty typically are not expected to establish an independent program of research. Promotion to professor requires documentation evidence of a sustained and substantial record of scholarship. Candidates should have 25-35 peer reviewed journal publications since their appointment as research associate professor. Some first, senior, or corresponding authorships are expected. Overall, the number of publications required for

promotion should be sufficient to persuasively characterize the faculty member's influence in helping to discover new knowledge in their field. Thus, both quality and quantity are important considerations. It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive promotion decision. Similarly, records of scholarship below the specified range do not preclude a positive promotion decision.

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

6 Associated Faculty

a. Compensated Associated Faculty

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

b. Uncompensated Associated Faculty

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

Required documentation for considering promotion of associated faculty:

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

B Procedures

The Department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule [3335-6-04](#) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and](#)

Procedures Handbook. The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the Department.

1 Tenure-Track, Clinical, and Research Faculty

a Candidate Responsibilities

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

- **Dossier**

Every candidate must submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates are fully responsible for the contents of the dossier and should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist. While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by him or her.

It is the responsibility of the Department to evaluate and verify this documentation.

The time period for teaching documentation to be included in the dossier for probationary faculty is the initial date of employment on the faculty at OSU to present. For tenured or non-probationary faculty it is the date of last promotion or the last five years, whichever is less (and excluding any information that may have been considered for a previous promotion), to present.

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

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

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

i. Documentation

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

The following paragraphs provide suggested standards for documenting excellence in Teaching, Research and Scholarship, and Service. Additional standards are included in appendices attached to this document by individual departments, the specific descriptions of initial appointments, and in the outlined criteria for promotion in other sections of this document.

Teaching

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

All Tenure Track and Clinical faculty members must be engaged in teaching, development of the Department's and/or College's academic programs, and mentoring of students. Evidence of effective teaching must be demonstrated by documentation of teaching activities over a sustained period of time. Evidence for effective teaching may be collected from multiple different sources including students, residents, fellows, post-doctoral trainees (hereafter referred to as learners), peers, self-evaluation and administrators.

Yearly, learner and peer evaluations, at a minimum, are required. Effectiveness is demonstrated by positive evaluations from undergraduate, graduate, post-graduate learners, local colleagues and/or national peers. Importantly, administration of an assessment tool must not be under the control of the faculty member being evaluated. Faculty members may supplement the required assessment tool with others if they wish. Learners must be provided an opportunity to assess the instructor and course using the required assessment tool in every regular classroom course. Regardless of the instructional setting, effort should be made to obtain evaluations from the largest number of learners possible. When there is a significant discrepancy between the number of students enrolled and the number providing evaluations, the evaluations cannot be assumed to represent a consensus of student opinion.

Typically documentation of teaching for the promotion dossier will include one or more of the following, for the time period since the last promotion or the last five years, whichever is less:

- cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every formal class
- Medical student evaluations (e.g., Vitals)
- Resident evaluations (e.g., MedHub)
- Peer evaluation of teaching reports
- teaching activities as listed in the core dossier including
 - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research

- mentoring postdoctoral scholars and researchers
- extension and continuing education instruction
- involvement in curriculum development
- awards and formal recognition of teaching
- presentations on pedagogy and teaching at national and international conferences
- adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching as appropriate

Peer evaluation is required on a recurring basis for all faculty members. Peer evaluations may include internal, and/or external review of classroom instruction, clinical teaching and course materials such as syllabi, examinations and instructional materials including textbooks. Assessment by observation of classroom and clinical teaching is most useful when done systematically over time and conducted with the specific goal of offering constructive suggestions. Responsibility for arranging for and carrying out peer review activities must rest with someone other than the faculty member whose teaching or teaching materials are to be reviewed.

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

Peer evaluation resources can be found [here](#).

Scholarship

Scholarship is broadly defined as the discovery and dissemination of new knowledge by research, study and learning. A faculty member's scholarship must be demonstrated to be of high quality, significance and impact.

All tenure track, clinical, and research faculty members (with the exception of faculty on the clinical excellence pathway) must develop a record of scholarship that is documented by a body of original scholarly work over a period of time. The evidence for scholarship must refer to original, substantive works that are documented achievements. Recognition of the scholarly work must also be external to the University, residing in the scientific communities apropos to the faculty member's field of scholarship.

Scholarship is broadly defined and can include all aspects of basic science, clinical research including clinical trials and research based on cases or case series, educational outcomes research, development of academic modules, etc. The nature of scholarship should be pertinent to the faculty member's track and pattern of responsibilities.

Evidence of scholarship can include but are not limited to: peer reviewed journal articles, bulletins and technical reports, original books and monographs, edited books, chapters in edited books, editor reviewed journal articles, reviews and abstracts, papers in proceedings, unpublished scholarly presentations, externally funded research, funded training grants, other funding for academic work, prizes and awards for research or scholarly or creative work, major professional awards and commendations. Evidence of scholarship may also include invited lectures at other universities, symposia, and

conferences; invention disclosures, patent activity, entrepreneurship, technology commercialization, software development; editorship of a major collection of research work; leadership of advanced seminars and symposia under organizational sponsorship; and invitations to serve on national review bodies.

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

Service

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

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

- **APT Document**

Candidates must also submit a copy of the APT document under which they wish to be reviewed. Candidates may submit the Department's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year. The APT document must be submitted when the dossier is submitted to the Department.

- **External Evaluators**

Candidates are responsible for reviewing the list of potential external evaluators developed by the Department Chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The Department

Chair decides whether removal is justified. (Also see External Evaluations below.) Under no circumstances should a candidate solicit evaluations from any party for purposes of the review.

b Promotion and Tenure Committee Responsibilities

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

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

- Suggest names of external evaluators to the Department Chair.
 - Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- **Early Autumn:**
 - Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.
 - Revise the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the Department chair.
 - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
 - Provide a written evaluation and recommendation to the Department Chair in the case of joint appointees from another Department. The full eligible faculty does not vote on these cases since the Department's recommendation must be provided to the other Department substantially earlier than the committee begins meeting on this Department's cases.

c Eligible Faculty Committee Responsibilities

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

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.
- The Promotion and Tenure Committee chair will serve as the chair of the Eligible Faculty Committee and will write a letter to the Department Chair reporting the vote and summarizing the discussion of the eligible faculty. This letter will be evaluative as well as descriptive and contextualize the vote, including any "minority opinions" as appropriate. In the event the candidate is on the tenure track, this letter must be written by a tenured faculty at the appropriate rank per University Faculty Rules.

d Department Chair Responsibilities

The responsibilities of the Department chair are as follows:

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

- of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the Department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the Department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the Department chair recommends against promotion. A negative recommendation by the Department chair is final in such cases.
- To receive the eligible faculty's written evaluation and recommendation of candidates who are joint appointees from other Departments, and to forward this material, along with the Department chair's independent written evaluation and recommendation, to the chair of the other Department by the date requested.

2 Procedures for Associated Faculty

Procedures for the promotion of associated faculty are described in Section VI.A.6 above.

3 External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews other than associated faculty. These letters must be external to the Department. For tenure track, research, clinical educator, and clinical scholar candidates, letters must be external to the university. Clinical excellence candidates may have letters from the institution. As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the Department Chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Candidates are permitted to suggest external evaluator names following the criteria below. However, per Faculty Rule [3335-06-04](#) (B) 3, "no more than one-half of the letters contained in the final dossier should be from persons suggested by the candidate."

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

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

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

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

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

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

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

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

VII Appeals

Faculty Rule [3335-6-05](#) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule [3335-5-05](#).

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

VIII Seventh-Year Reviews

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

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

IX Procedures for Student and Peer Evaluation

1 Student Evaluation of Teaching

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

2 Peer Evaluation of Teaching

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

Annually the Department chair, in consultation with the Vice Chair for Academic Affairs, appoints a Peer Review of Teaching Committee of a size judged sufficient to meet the volume of peer review activity expected that year, without overburdening any of the members. The term of service is one year, with reappointment possible. Reasonable efforts are made to distribute service among senior faculty from year to year in order to support and encourage attention to the quality of teaching in the Department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

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

- to review the teaching of probationary tenure-track and clinical faculty at least once per year during each year of service 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 tenured associate professors and non-probationary Associate Professors of Psychiatry and Behavioral Health, Clinical Faculty, at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned

over a six year period and of having at least four peer reviews of teaching before the commencement of a promotion review.

- to review the teaching of tenured professors and non-probationary Professors of Psychiatry and Behavioral Health, Clinical Faculty, at least once every other year with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review.
- To review, upon the Department Chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The Department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [Michael V. Drake Institute for Teaching and Learning](#).

Reviews conducted upon the request of the Department Chair or the faculty member focus on the specific aspects of instruction requested by the Department Chair or faculty member and may or may not include teaching observations.

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to teaching observation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the teaching observation 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 meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions in the course sequence.

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

X Appendices

A. Glossary of Terms

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

APT – Appointments, Promotion and Tenure

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

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

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

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

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

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

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

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

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

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

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

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

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

Non-mandatory review – voluntary promotion or tenure review

OAA – Office of Academic Affairs

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

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

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

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

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

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

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

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

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

SEI – Student Evaluation of Instruction

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

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

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

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

B. AAUP Statement on Professional Ethics

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

5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

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