

**Appointments, Promotion, and
Tenure
Criteria and Procedures for
The Ohio State University
Department of
Speech and Hearing Science**

Approved by the Faculty: October 15, 2020

Approved by the Office of Academic Affairs: November 7, 2021

TABLE OF CONTENTS

I. PREAMBLE	4
II. DEPARTMENT MISSION	4
III. DEFINITIONS	5
A. Committee of the Eligible Faculty	5
1. Tenure-track Faculty	5
2. Clinical Faculty	5
3. Research Faculty	6
4. Associated Faculty.....	6
5. Conflict of Interest.....	7
6. Minimum Composition	7
B. Quorum	7
C. Recommendation from the Committee of the Eligible Faculty	7
1. Appointment	8
2. Reappointment, Promotion and Tenure, Promotion and Contract Renewal	8
IV. APPOINTMENTS	8
A. Criteria	8
1. Tenure-track Faculty	8
2. Clinical Faculty	10
3. Research Faculty	10
4. Associated Faculty.....	11
5. Emeritus/Emerita Faculty	12
6. Courtesy Appointments for Faculty	12
B. Procedures	13
1. Tenure-track Faculty	13
2. Clinical Faculty	15
3. Research Faculty	16
4. Transfer from the Tenure-track	16
5. Associated Faculty.....	16
6. Courtesy Appointments	16
V. ANNUAL PERFORMANCE AND MERIT REVIEWS	17
A. Documentation	17
B. Probationary Tenure-track Faculty	18
1. Annual Review Procedures—Probationary Faculty	18
2. Fourth-Year Review—Probationary Faculty	19
3. Exclusion of Time from Probationary Period—Probationary Faculty	20
C. Tenured Faculty	20
D. Clinical Faculty.....	20
E. Research Faculty.....	21
F. Associated Faculty.....	21
G. Salary Recommendations	22
VI. REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION	22
A. Criteria and Documentation that Support Promotion	22
1. Promotion to the Rank of Associate Professor with Tenure	23
2. Promotion to Professor.....	24
3. Promotion of Clinical Faculty	25
4. Promotion of Research Faculty	26
5. Promotion of Associated Faculty	27
B. Procedures.....	27

1. Tenure-track, Clinical and Research Faculty	27
2. Procedures for Associated Faculty	32
3. External Evaluations	32
VII. APPEALS	33
VIII. SEVENTH-YEAR REVIEWS	33
IX. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING	33
A. Student Evaluation of Teaching.....	33
B. Peer Evaluation of Teaching.....	33

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 of Arts and Sciences and the University to which the Department and its faculty are subject.

Should those rules and policies change, the Department shall follow those 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 appointment or reappointment of the Department Chair.

This document must be approved by the Executive Dean of the College and the Executive Vice President and Provost of the University before it can 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 its criteria and procedures for faculty promotion, tenure, and rewards including salary increases. In approving this document, the Executive Dean of the College and the Executive Vice President and Provost accept the mission and criteria of the Department and delegate to it the responsibility to apply high standards in evaluating continuing faculty and candidates for positions in relation to its mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule [3335-6-01](#) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule [3335-6-02](#) and other standards specific to this Department and College; and to make positive and/or 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](#).

In this document, the term "Department" will normally refer to the Department of Speech and Hearing Science which is the TIU referenced in this document; the term "Chair" will normally refer to the head of the Department; and the term "College" refers to the College of Arts and Sciences.

II. DEPARTMENT MISSION

The mission of the Department of Speech and Hearing Science is to serve and advocate for persons affected by communication disorders through advancing knowledge of normal and disordered communications and promoting excellence by educating leaders in speech and language pathology and audiology. The Department's Vision is to strive to be universally recognized and respected for diversity, innovation and inspiration in our synthesis of science and practice.

The programs of the Department encompass the research, education and clinical service activities required in scholarly pursuits in the areas of speech-language pathology, audiology, speech science and hearing science. The Department maintains an undergraduate major (which also serves as an undergraduate pre-professional program in speech-language pathology and audiology) as well as two professional graduate programs --a MA program in speech-language pathology and a Doctor of Audiology (AuD) program in audiology—and a PhD program. The faculty of the Department consists of individuals whose research interests and expertise maintain an appropriate balance among

the areas of the discipline. The Department seeks continuous improvement in all areas of research, instruction, and service to the University and to our discipline.

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 Chair, the Executive Dean, Divisional Deans, and Assistant and Associate Deans of the College of Arts and Sciences, 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 an appointment (hiring or appointment change from another faculty type) review of an assistant professor, the eligible faculty consists of all tenure-track faculty in the Department.
- For an appointment (hiring or appointment change from another faculty type) review 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 is then cast by all tenured faculty of equal or higher rank than the position requested.

Reappointment, Promotion or Promotion and Tenure Reviews

- For the reappointment and promotion and tenure reviews of assistant professors, the eligible faculty consists of all tenured associate professors and professors.
- For the promotion 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 an appointment (hiring or appointment change from another faculty type) review of a clinical assistant professor, the eligible faculty consists of all tenure-track faculty and all clinical faculty in the Department.
- For an appointment (hiring) review at senior rank (clinical associate professor or professor), the eligible faculty consists of all tenure-track and all clinical faculty in the department. A vote on the appropriateness of the proposed rank is then cast by all tenured faculty of equal or higher rank than the position requested, and all non-probationary clinical faculty of equal or higher rank than the position requested.

Reappointment, Promotion or Promotion and Tenure Reviews

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

3. *Research Faculty*

Initial Appointment Reviews

- For an appointment (hiring or appointment change from another faculty type) review of an assistant professor, the eligible faculty consists of all tenure-track faculty and all research faculty in the Department.
- For an appointment (hiring or appointment change from another faculty type) review 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 is then cast by all tenured faculty of equal or higher rank than the position requested and all non-probationary research faculty of equal or higher rank than the position requested.

Reappointment, Promotion or Promotion and Tenure Reviews

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

4. *Associated Faculty*

Initial Appointment, Reappointment, and Contract Renewal

- Initial appointment (hiring or appointment change from another faculty type), reappointment, and contract renewal of compensated associated faculty members are decided by the Department Chair in consultation with the Chair's Executive Advisory Committee.

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

Promotion Reviews

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

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

The promotion of a lecturer to senior lecturer is decided by the Department Chair in consultation with the Chair's Executive Advisory Committee

5. *Conflict of Interest*

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

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 Divisional Dean of Social and Behavioral Sciences, will appoint a faculty member from another Department within the College.

B. Quorum

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purpose of determining a quorum only if the Department Chair has approved an off-campus assignment. Similarly, a member of the eligible faculty who is on a Faculty Professional Leave (FPL) during the semester in which the discussion and votes take place will be excluded from the count for the purpose of determining a quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave.

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

C. Recommendation from the Committee of the Eligible Faculty

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

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

1. ***Appointment***

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

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

IV. APPOINTMENTS

A. Criteria

The Department of Speech and Hearing Science is committed to making only those faculty appointments that enhance or have the strong potential to enhance the quality of the Department. Faculty appointments are to be made that are consistent with the stated mission of the Department which is “to serve and advocate for persons affected by communication disorders through advancing knowledge of normal and disordered communications and promoting excellence by educating leaders in speech and language pathology and audiology.”

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***

Appointment decisions for tenure-track faculty will be based on criteria that reflect strong potential to attain tenure and advancement through the faculty ranks.

a. **Instructor**

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

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the Department's eligible faculty, the Department Chair, the Executive Dean of the College, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

b. Assistant Professor

An earned terminal degree in speech and hearing science or a related field (recognizing that speech and hearing science is an area of scholarship that is inherently multi- and interdisciplinary in nature) is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and quality service to the Department, the College, the University and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. For individuals not recommended for promotion and tenure after the mandatory review, the seventh year will be the final year of employment.

Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee (consisting of the Committee of Eligible Faculty) determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked without a formal request for an extension of the probationary period.

Assistant professors will normally undergo a review in the spring semester of their fourth year. This review will be conducted by the Committee of the Eligible Faculty at both the Department and College level, the Chair, and the Dean of the College of Arts and Sciences. This review will determine if the candidate is eligible for a mandatory sixth year review.

c. 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 a senior rank requires that the individual, at a minimum, meets the Department's criteria in teaching, scholarship, and service for promotion to these ranks. These criteria include an earned doctorate in speech and hearing science or a related field, a substantial record of scholarly achievement (e.g., peer-reviewed articles in top-tier journals) in one or more of the Department's program specialty areas, and evidence of a national reputation as a scholar with clear potential to attain (Associate Professor) or show evidence of (Professor) international visibility. There must be a high likelihood of continued and significant scholarly contributions and a judgment that the addition of the candidate will improve the level of scholarship of the Department. Additionally, there must be evidence that the applicant has been an effective teacher and has provided substantial service to the Department, the College, the University and the profession. Appointment at a senior rank normally entails tenure. A probationary

appointment at a senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

The university will not grant tenure unless the candidate is (1) a U.S. citizen or national; (2) a permanent resident (“green card” holder); (3) an 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*

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. Tenure is not granted to clinical faculty. Promotion is not required for the re-appointment of clinical faculty. Unlike tenure-track assistant professors, assistant professors in clinical appointments may maintain that rank indefinitely. The issuing of new contracts is not directly tied to the promotion process.

A clinical faculty member at the Assistant Professor, Associate Professor or Professor ranks must still undergo annual reviews by the Department Chair. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the Department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see [Faculty Rule 3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the Department.

Clinical faculty members are scholars whose primary contributions are to the professional programs of audiology and/or speech-language pathology. Individuals appointed to a clinical faculty position might have any of a variety of educational degrees. Within the field of speech and hearing science, there are a number of possible degrees that might be appropriate for a clinical faculty member. For speech-language pathology, the minimum required degree for clinical practice in the U.S. is a master’s degree, and thus it is possible that the degree of a clinical-track faculty member in that area might be MA, MS, MEd, EdD, SLPD or PhD, depending on the program from which he/she graduated. For audiology, a practicing audiologist might have a degree of AuD or PhD, again depending on the program from which they graduated (individuals who earned their degree before 2007—the year that the AuD became the entry-level degree for the profession of audiology—might have a MA or MS degree). The individual will be required to hold clinical certification from a national association (e.g., from the American Speech-Language-Hearing Association; for details click [here](#)) and/or be eligible for licensure at the state level (through the [Ohio Speech and Hearing Professionals Board](#)).

3. *Research Faculty*

Appointment of research faculty entails three- to five-year contracts. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance.

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

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

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

4. *Associated Faculty*

Associated faculty appointments may be as short as two weeks to assist with a focused project, a semester to teach one or more courses, or for up to three years when a longer contract is useful for long-term planning and retention.

a. Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor

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

b. Lecturer

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

c. 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. The initial appointment for a senior lecturer should generally not exceed one year; such appointments can be renewed on an annual basis.

d. Assistant Professor, Associate Professor, Professor with FTE below 50%

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

e. Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor

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

5. ***Emeritus/Emerita Faculty***

Emeritus/Emerita 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/emmerita 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/emmerita faculty status to the outlining academic performance and citizenship to the Chair. The Committee of Eligible faculty (tenured and non-probationary clinical associate professors and professors) will review the application and make a recommendation to the Chair. The Chair will decide upon the request, and if appropriate submit it to the Dean. If the faculty member requesting emeritus/emmerita 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/emmerita 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/Emerita faculty may not vote at any level of governance and may not participate in promotion and tenure matters.

6. ***Courtesy Appointments for Faculty***

Occasionally the active academic involvement in the Department by a tenure-track, clinical, or research faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in this Department. Appropriate active involvement includes

research collaboration, graduate student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

B. Procedures

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

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

1. *Tenure-track Faculty*

A national search is required to ensure a diverse pool of highly qualified candidates for 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](#).

The Executive Dean of the College of Arts and Sciences provides approval for the Department to commence a search process. This approval will be accompanied by specific ranges with regard to salary, rank, and field of expertise.

The recruitment of new tenure-track faculty must be based on a clear and sound plan for the programmatic future of the Department and on a realistic determination of the availability of resources to support a new appointment. The Chair has the primary responsibility for the recruitment of all new academic personnel. He or she is assisted in recruiting activities by faculty search committees and the faculty as a whole. All consultation with and votes by the eligible faculty are advisory to the Chair. All appointments in the Department are made upon the recommendation of the Chair and the approval of the Executive Dean of the College of Arts and Sciences.

The general disciplinary sub area of the new position will be based on the future programmatic needs of the Department and will be sensitive to the current distribution of expertise within the Department faculty in terms of speech-language pathology, speech-language science, audiology, and hearing science and current student interest and academic goals of Department.

The major faculty mechanism for recruiting is the Search Committee. The Search Committee and the Search Committee Chair shall be named by the Chair. One member of the Search Committee shall be designated as the Diversity Advocate. The Department Chair shall not serve as a member of the Search Committee. Both tenure-track and clinical faculty members can serve on Search Committees.

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

[the Study of Race and Ethnicity](#), is also required of all search committee members prior to any search.

The Search Committee:

- a. 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.
- b. 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. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- c. The Search Committee will also be responsible for identifying the appropriate venues in which the position should be advertised (for example, ASHA magazine, appropriate web sites such as www/capcsd.org [the website for the Council of Academic Programs in Communication Sciences and Disorders which has job postings for most faculty positions in our discipline] and e-mail server groups, personal networking, and *The Chronicle of Higher Education*). Special effort will be made to advertise in a range of venues that may attract applications from a diverse pool of highly qualified candidates. 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).
- d. Screens applications and letters of recommendation and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this judgment, on-campus interviews are arranged by the search committee chair, assisted by the Department office. If the faculty does not agree, the Chair in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).
- e. Before inviting any candidates for an in-person or virtual interview, the Search Committee Chair or Department Chair will submit information about the pool and finalists to the Divisional Dean for Social and Behavioral Sciences for approval to proceed.
- f. The Diversity Advocate will have the special responsibility for assuring that the search is conducted according to relevant University, College and Department rules and policies, that all procedures are carried out in a professional manner, and that all proceedings are free of inappropriate comments or assumptions about members of underrepresented groups that could bias the evaluation of a candidate. The Search Committee shall make every effort to solicit applications from diverse candidates for all positions.

On-campus or virtual interviews with candidates must include opportunities for interaction with faculty groups (tenure-track, clinical and research), including the search committee; graduate students; the Chair; and the Dean or designee. In addition, all candidates make a presentation to the faculty and graduate students 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.

After all candidates have completed formal visits, the eligible faculty will meet to discuss each candidate. The Chair of the Department can call for a special meeting to discuss one or more candidates following any visit. Through the process of voting by secret ballot, the eligible faculty will make recommendations to the Chair following the completion of the search process. It is the responsibility of the faculty to attend, participate, and vote on every appointment.

On receipt of the recommendation, the Chair may recommend to the Divisional Dean for Social and Behavioral Sciences and the Executive Dean of the College regarding making an offer to a particular candidate, resuming the search or canceling the search. If the Chair's recommendation is contrary to the recommendation of the faculty, the Chair will consult with that body before making a final decision. In hiring faculty into probationary tenure-track positions, the Department should be convinced that the candidate—given his or her training and record to date—will successfully meet the Department's, the College's, and the University's standards for tenure by the end of the probationary period.

If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the Chair. 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.

Candidates for prior service credit must have accomplishments that inspire confidence that the candidate's record will warrant a positive review for promotion and tenure at the end of the shortened probationary period. Prior service credit will not be given unless the candidate requests it and even in those circumstances, the Department will discourage the candidate's request.

In the event that more than one candidate achieves the level of support required to extend an offer, the Chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the 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 (1) a U.S. citizen or national; (2) a permanent resident ("green card" holder); (3) an 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*

In general, the process for hiring clinical faculty is the same as that outlined for tenure-track faculty except that teaching experience with regard to clinical skills and clinical education, clinical service, and clinical supervision/preceptorship are paramount in terms of hiring criteria. Exceptions to a national search require approval by the Executive Dean of the College.

3. *Research Faculty*

Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that during the on-campus interview the candidate is not asked to teach a class, and exceptions to a national search require approval only by the Executive Dean of the College.

4. *Transfer from the Tenure-track*

Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the Chair, the Executive Dean of the College, and the Executive Vice President and Provost.

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

Transfers from a clinical appointment and from a research appointment to the tenure-track are not permitted. However, clinical faculty members and research faculty members may apply for open tenure-track positions and compete in the national search required for such positions.

5. *Associated Faculty*

The appointment, review, and reappointment of all compensated associated faculty are decided by the Chair in consultation with the Chair's Executive Committee.

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

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the Department and are decided by the Chair in consultation with the Chair's Executive Committee.

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*

Occasionally the active academic involvement in this Department by a tenure-track, research or clinical faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in this Department. Appropriate active involvement includes

research collaboration, graduate student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

Courtesy appointments will be initiated when the Chair determines that the potential contribution of the appointee to the academic work of the Department as well as the needs of the Department justifies such an appointment. The Chair will review the curriculum vitae and associated documents of the potential appointee and will consult with the faculty (and, when appropriate, the clinical staff) before making the initial appointment. Faculty members or clinical staff members may request that such an appointment be initiated but must provide a written rationale supporting the appointment.

The 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 faculty meeting.

V. ANNUAL PERFORMANCE AND MERIT REVIEW PROCEDURES

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

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

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

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

The general policy of the Department in evaluating faculty performance is as follows: In judging research and publications, quality shall be the primary concern. Quantity of scholarly production is important but secondary to quality. In the area of teaching, it is recognized that popularity is a potentially misleading criterion. The Department recognizes that what is taught (and the amount of information that students retain) is as important as how it is taught.

A. Documentation

For their annual performance and the Chair's determination of merit salary recommendations, faculty members must submit the following documents to the Department Chair no later than January 31:

- An Office of Academic Affairs dossier outline, [*Policies and Procedures Handbook*](#), Volume 3 (*required for probationary faculty and recommended for associate professors*) or updated documentation of performance and accomplishments (*non-probationary faculty*).
- An updated CV, which will be made available to all faculty in an accessible place (*all faculty*).

The Chair will indicate when in the Spring semester that he/she will begin annual reviews and faculty will be allowed to provide updated materials at that time.

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

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

B. Probationary Tenure-Track Faculty

Every probationary tenure-track faculty member is reviewed annually by the Chair as well as the Committee of the Eligible Faculty (the Promotion and Tenure Committee). The Chair meets with the faculty member to discuss his or her performance, future plans, and goals. The procedures followed in the annual review is outlined below. Both the Chair and the Committee of the Eligible Faculty Committee prepare a written evaluation that includes a recommendation on whether to renew the probationary appointment.

1. Annual Review Procedures – Probationary Faculty

- a. At the time of appointment, probationary faculty members shall be provided with all pertinent documents detailing tenure initiating unit, college, and university promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary faculty members shall be provided with copies of the revised documents.
- b. An annual review of probationary tenure-track faculty will be done by the Department's Committee of the Eligible Faculty and by the Department Chair. This annual review will be completed during the Spring semester or as specified by the College or the Office of Academic Affairs. The Chair will provide the appropriate timetable for submission of all materials.
- c. The Chair will attend the meeting to preside over the meeting, to provide any additional information requested and to participate in discussions. However, the Chair will not participate in any vote taken during the meeting. Votes taken during the meeting will be done by secret ballot. Members of the Committee of the Eligible Faculty who are absent from the meeting may provide short comments regarding his or her evaluation of the untenured faculty members in the areas of research, teaching, and service to the

Department Chair who will read them during the meeting. Proxy votes from absent committee members will not be solicited nor accepted.

- d. Prior to the meeting, the Department Chair will appoint a senior faculty member to be the reporter for the meeting. Following this meeting, the reporter will provide to the Department Chair a written report of the results of the review for each untenured faculty member. This reporter will solicit comments and/or suggestions from other members of the committee in preparing an accurate and balanced report. This report will provide an evaluation (including both strengths and weaknesses) of the untenured faculty member in terms of research, teaching, and service and any recommendations in terms of future performance.
- e. After receiving this review, the Department Chair will provide his or her own written evaluation for each untenured faculty member. If there are differences between the assessment of the Department Chair and the Committee of the Eligible Faculty, the Department Chair will explain to the members of the Committee the reasons for his or her departure from their evaluation.
- f. Copies of these evaluations shall be provided to the untenured faculty member. The Department Chair and probationary faculty member will meet to discuss these written evaluations, which should be constructive and candid. This review process is a means to be supportive and helpful to untenured faculty but, at the same time, provide a candid and clearly communicated evaluation of that faculty member's performance—especially in terms of those aspects that need improvement if the probationary faculty member is to make acceptable progress toward tenure.
- g. 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, the evaluation by the Committee of the Eligible Faculty, and the faculty member's comments, if received, are forwarded to the Executive Dean of the college. In addition, the annual review letters become part of the cumulative dossier for promotion and tenure, along with the candidate's comments.
- h. The Department shall not renew a probationary appointment following any annual review in which it is apparent that the probationary faculty member's likelihood of meeting expectations of promotion and tenure is poor. The Department Chair can make a recommendation of non-renewal in any year prior to the beginning of the 6th year. An annual review in the first, second, third, or fifth year that results in a nonrenewal recommendation must have followed fourth year review procedures (described below). In such cases, following completion of the comments process, the complete dossier is forwarded to the College for review by the divisional promotion and tenure panel, and the Executive Dean makes the final decision on renewal or nonrenewal of the probationary appointment.

2. *Fourth-Year Review – Probationary Faculty*

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

not solicited and the Executive Dean of the College (not the Department Chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

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

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

3. *Exclusion of Time from Probationary Period – Probationary Faculty*

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

C. **Tenured Faculty**

Associate professors are reviewed annually by the Chair. The Chair 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. In addition to a Chair's review, The Chair may request an additional review (no more often than every two years) by the Committee of the Eligible Faculty who will provide an evaluative report which provides feedback to the Associate Professor regarding progress toward promotion. The faculty member may provide written comments on these reviews.

Professors are reviewed annually by the Chair 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 tenure initiating unit, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to the Department, the College, the University, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest-ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If an associate professor or a professor has an administrative role (e.g., a member of the Chair's Executive Committee composed of the Chair of the Graduate Studies Committee, the Chair of the Undergraduate Committee, the Chair of the Speech-Language Oversight Committee and the Chair of the Audiology Oversight Committee), the impact of that role and other assignments will be considered in the annual review. The Chair prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

D. **Clinical Faculty**

The annual performance and merit review documentation for clinical probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty respectively. The Chair will conduct this annual review independently.

The annual review process for clinical probationary and non-probationary faculty will include an examination of her/his performance in terms of clinical education (which will include teaching clinically oriented courses, clinical supervisor/preceptorship, clinical placement of graduate students into external clinical sites and evaluation of the performance of those sites), service to the Department, the College, the University, and to the discipline of speech and hearing science and scholarship (in the form of presentations at state or national conventions, news articles, etc., or supporting the clinical research of tenure-track faculty members).

In the penultimate contract year of a clinical faculty member's appointment the annual review by the Chair will be complemented by an annual review by the Committee of Eligible Faculty (which can include Clinical Faculty at a higher rank). On the basis of these review, the Department Chair will determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

There is no presumption of renewal of appointment.

E. Research Faculty

The annual performance and merit review documentation for research probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty respectively. The Chair will conduct this annual review independently.

In the penultimate contract year of a research faculty member's appointment the annual review by the Chair will be complemented by an annual review by the Committee of Eligible Faculty (which can include Research Faculty at a higher rank). On the basis of these review, the Department Chair will 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. 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. 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. No later than October 15 of the final year of the appointment, the Chair will decide whether or not to reappoint. The Department Chair's recommendation on reappointment is final.

Annual contracts for associated faculty can be for a single course in a single semester. The Chair reviews the performance of these associated faculty to determine if the Department will hire them for the same (or other) courses in the future.

G. Salary Recommendations

The Department Chair recommends annual salary increases and other performance rewards to the Divisional Dean of Social and Behavioral Sciences, who may modify these recommendations subject to final approval by the Executive Dean. 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.

Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. 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 as appropriate. After merit salary increases have been finalized at the College and University level, the Chair shall inform each faculty member of his or her increase.

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

Faculty members who fail to submit the required documentation (See Section V-A above) 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. REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION

A. Criteria and Documentation that Support Promotion

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

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

In addition, the Arts and Sciences APT provides an [addendum to this Faculty rule](#) in terms of promotion to Professor. The addendum states that:

Promotion to professor in the College of Arts and Sciences takes the pursuit of scholarly and creative excellence as our core value. The College also recognizes that a career may consist of various phases in which a concentration on scholarly and/or creative activity, teaching, or administrative/professional service creates a composite professional life. Promotion to full professor typically requires excellence in scholarship and/or creative activity. Where a candidate has made truly extraordinary contributions in the areas of teaching or service, that record may warrant promotion in combination with a less extensive, though excellent record of continued productivity in scholarship and/or creative activity.

1. Promotion to the Rank of Associate Professor with Tenure

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

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

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

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

The Department will establish and exercise high standards for the awarding of tenure since a positive tenure decision has a powerful impact on the quality and future of the Department. Every candidate should be held to a standard of excellence in all aspects of performance. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. For example, if a candidate's primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities. The pattern of performance over the probationary period should yield a high degree of confidence that the candidate will continue to develop professionally in ways relevant to the future of the Department.

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](#).

Criteria for Promotion to Associate Professor with Tenure include consideration of the following:

Scholarship: Excellence in scholarship typically will be demonstrated through publications in peer-reviewed publications and peer-reviewed scholarly books and book chapters. The quality of these publications venues is important. Probationary tenure-track faculty are encouraged and expected to seek external support for their research efforts (serving on grant/foundation proposals as a Principal Investigator, Co-Investigator or Consultant) but candidates do not have to have been successful at securing external funding prior to promotion and tenure.

Teaching: Excellence in teaching means providing to all students the opportunity to realize their full capabilities for learning in speech and hearing science. Excellence in teaching is demonstrated through student evaluations, peer reviews of instructional substance (e.g., syllabi, materials and assignments, feedback on assignments and exams) and process (e.g., clarity of speech and visual materials, engagement of students), curricular enhancement and innovation in the courses taught in the Department's graduate and undergraduate programs, documentable efforts to improve and enhance teaching methods, and so forth. Attention also is paid to supervision of high-quality dissertations, masters and honors theses, and scholarly papers and presentations by students.

Service: Excellence in service means making available a high level of professional expertise and experience to the Department, the university, the state of Ohio, and the profession. The amount of the service contribution during the probationary period of assistant professors is limited by design, but the quality of the service contribution must be evident. The most important judgment in the area of service is whether the candidate will achieve excellence in service in the future.

The Department must be able to support that claim that the promotion and tenure of the candidate will improve the overall scholarly quality and standing of the Department. Internal cases for promotion to a higher rank and external hires at that rank should be equally strong and meet the same standards. Internal cases should also be comparable to the quality of external candidates who could be hired, controlling for rank and stage of career.

2. *Promotion to the Rank of Professor*

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

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

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

The Department expects an individual ready for promotion to professor to be a role model for less senior faculty, for students, and for the profession. While the individual seeking promotion should be assessed in relation to assigned responsibilities, exceptional

performance in these responsibilities should be required. Internal cases for promotion and external hires at that rank should be equally strong and meet the same standards. Internal cases also should be comparable to the quality of external candidates who could be hired.

A successful candidate for promotion to professor will have achieved national distinction as a scholar based on high-quality research productivity and will have an emerging international reputation. It is also expected that a successful candidate will have been active in seeking external funding for her/his research. The candidate will have demonstrated excellence in teaching as defined as providing to all students the opportunity to realize their full capabilities for learning in speech and hearing science and providing to the most capable and motivated students an enhanced learning experience – this will include doctoral-level advising of students and their dissertations. The candidate will also have demonstrated excellence and leadership in service having made available a high level of professional expertise and experience to one or more publics including the College, the University, the Columbus Community, the State of Ohio, the nation and professional organizations. Internal cases for promotion to a higher rank and external hires at that rank should be equally strong and meet the same standards. Internal cases should also be comparable to the quality of external candidates who could be hired, controlling for rank and stage of career.

3. *Promotion of Clinical Faculty*

The primary responsibility of the Clinical Faculty is teaching in the form of didactic coursework, clinical precepting, placement of graduate professional students into clinical sites and provision of clinical services to patients (which can be observed by graduate students). Secondary responsibility is for providing service to the Department, profession, the community and, if the opportunity arises, the College or University. High-quality performance in teaching is also expected. Tertiary responsibility involves scholarship (e.g., presentations and publications). Specific criteria are as follows:

a. Promotion to the Rank of Associate Professor of Clinical Speech and Hearing Science.

Clinical Education: Candidates for promotion shall demonstrate excellence in teaching in the clinical education programs of Speech-Language Pathology and Audiology, as well as didactic teaching at the graduate and/or undergraduate levels. Clinical education responsibilities will include but are not necessarily limited to: clinical supervision/precepting; maintaining patient/client documentation related to clinical education (e.g., patient files, guidance of student written materials, including reports, etc.); clinical scheduling; making clinical placements for graduate professional students (MA-SLP and AuD) and serving as the instructor for clinically-oriented courses. The distribution of clinical precepting versus didactic teaching will vary by each clinical faculty member's particular teaching load which is determined by the Chair in consultation with the Chair's Executive Committee and the Department's Clinic Committee. Excellence will be demonstrated through peer-review of teaching, precepting evaluations, student surveys, and student evaluation of instruction.

Service. Candidates for promotion shall demonstrate a history of service to the Department, the community, and to the disciplines of Speech-Language Pathology and/or Audiology. A history of service to the Department would include membership and leadership on Department committees, contributions toward Development, contributions toward promoting the department, and membership on student committees (e.g., AuD capstones, MA-SLP posters or theses, etc.). A history of service to the community would

include community outreach and engagement. A history of service to the discipline would include active participation in one or more of the state organizations and may include active participation in one or more of the national organizations.

Scholarship. Candidates for promotion shall demonstrate a history of scholarly activities. Contributions in this area would include working with tenure-track and/or research faculty in promoting and/or facilitating clinical research within the clinic; sole or co-authored presentations at state conferences; and participation as a committee member on AuD capstone projects or a MA thesis committee. This component of the promotion criteria will be the least-emphasized of the three, and therefore, the expectations will be lower than for Teaching or Service.

- b. Expectations for promotion to the Rank of Professor of Clinical Speech and Hearing Science.

Clinical Education. Candidates for promotion shall demonstrate continued excellence in teaching. Excellence will be demonstrated through peer-review of teaching/precepting evaluations and student evaluations of instruction. Candidates shall also demonstrate leadership in teaching by advising AuD capstones or MA poster projects, or creating new educational experiences, for example, developing a new course.

Service. Candidates for promotion shall demonstrate continued service to the Department, the College, the University, the community, and to the discipline of Speech-Language Pathology and/or Audiology. A history of service to the Department would include membership and leadership on Department committees, contributions toward Development, contributions toward promoting the department, membership/advising on student committees (e.g., AuD capstones, MA-SLP posters or theses, etc.). Service to the University would include membership on committees in Social and Behavioral Sciences, the College of Arts and Sciences, or the University Senate and its related committees. A history of service to the community would include community outreach and engagement. A history of service to the discipline would include active participation in one or more of the national organizations (e.g., American Speech-Language-Hearing Association, the American Academy of Audiology).

Scholarship. Candidates for promotion shall demonstrate a history of scholarly activities at the national level. Contributions in this area would include sole or co-authored presentations at national conferences; publications in peer-reviewed journals and/or non-peer reviewed trade magazines (e.g., ASHA Leader, Audiology Today); and authored or co-authored books or book chapters.

4. ***Promotion of Research Faculty***

- a. Promotion to Research Associate Professor in the Department requires excellence in scholarship as seen in terms of quality and quantity of research publications (especially in terms of peer-reviewed publications in top-tier journals). The candidate should also have demonstrated substantial grant activity. The claim that promotion of the candidate will improve the overall scholarly quality and standing of the Department and program area needs to be supported. Internal cases for promotion and external hires at this rank should be equally strong. Additionally, the research records of research and tenure-track faculty at this rank should be comparable.

- b. Promotion to Research Professor requires the individual to be a role model for less senior faculty, for students, and for the profession. Exceptional performance in research responsibilities is required -- quantity and quality of peer-reviewed publications is paramount. It is expected that the individual will have attained national/international recognition in her/his field. Success in obtaining extramural funding for her/his research is also required. Internal cases for promotion and external hires at this rank should be equally strong and meet the same standards. Additionally, the research records of research and tenure-track faculty at this rank should be exceptional and comparable.

5 Promotion of Associated Faculty

Promotion to Adjunct Associate Professor and Adjunct Professor. The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track faculty above.

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

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

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

B. Procedures

The 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

Candidate Responsibilities

Candidates are responsible for submitting a complete, accurate dossier and providing a copy of the APT under which they wish to be reviewed. If external evaluations are required, candidates are 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 and accurate dossier that follows the Office of Academic Affairs dossier outline. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

While the Committee of the Eligible Faculty makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are completed.

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

The time period for scholarship documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion 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 departmental review only, unless reviewers at the college and university levels specifically request it.

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

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

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

If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to department guidelines. The candidate may add no more than three additional names but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified.

Committee of the Eligible Faculty Responsibilities

The responsibilities of the members of the eligible faculty 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 two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.

- The committee bases its decision on assessment of the record as presented in the faculty member's CV and 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 that she/he requests 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.
- Clinical or research faculty members will generally be considered for a non-mandatory promotion review, upon request by the faculty member or recommendation by the Chair or Committee of the Eligible Faculty during non-probational contract periods (and not during the initial probationary period). A clinical or research faculty member who is denied a review by the eligible faculty may apply the following year. Requests for reviews may be denied only single time by the Committee of the Eligible Faculty.
- 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 Chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
 - **Late Spring:** Suggest names of external evaluators to the Chair.
 - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work

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

- Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
- Revise the draft analysis of each case following the faculty meeting, 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 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 Chair in the case of joint appointees whose tenure-initiating unit is another department. The full eligible faculty does not vote on these cases since the Department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.
- 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.

Department Chair Responsibilities

The responsibilities of the Chair are as follows:

- To charge each member of the Committee of the Eligible Faculty to conduct reviews free of bias and based on criteria.
- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. (The department must ensure that such questions are asked of all applicants in a non-discriminatory manner.) Faculty members who are not (1) U.S. citizens or nationals; (2) permanent residents (“green card” holders); (3) asylees or refugees; or (4) individuals otherwise described as “protected individuals” pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b) may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until the status is established. Faculty members not eligible for tenure due to lack of status as a “protected individual” under the immigration laws are moreover not considered for promotion by this department.

- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Committee of the Eligible Faculty, the Chair and the candidate. (Also see External Evaluations below.)
- To solicit an evaluation from a TIU head of any TIU in which the candidate has a joint appointment.
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. At the request of the eligible faculty, the Department 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 the Department Chair;
 - of the opportunity to submit written comments on the above material, within ten 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 Chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrants response for inclusion in the dossier.
- To forward the completed dossier to the College office by that office's deadline, except in the case of associated faculty for whom the Department Chair recommends against promotion. A negative recommendation by the Department Chair is final in such cases.
- To receive the eligible faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the Chair's independent written evaluation and recommendation, to the Department Chair of the other tenure-initiating unit by the date requested.

2. *Procedures for Associated Faculty*

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

3. *External Evaluations*

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research appointment promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly/research activities are not obtained for clinical faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical faculty member will be made by the Department Chair after consulting with the candidate and the eligible faculty. If they are solicited, they will be obtained from at least five clinical professors or tenure track professors from other peer institutions. Two of these may be associate professors if the promotion is from clinical associate professor- to clinical professor.

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

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

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

As described above, a list of potential evaluators is assembled by the Committee of the Eligible Faculty, the 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. 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.

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

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

All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the 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 AND APPEALS OF REAPPOINTMENT NONRENEWALS

Faculty Rule [3335-6-05](#) (B) sets forth the criteria and procedures for appeals of a negative promotion and tenure decision and reappointment non-renewals and for seventh year reviews for tenure-track faculty.

IX. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

A. Student Evaluation of Teaching

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

B. Peer Evaluation of Teaching

The Chair oversees the Department's peer evaluation of teaching process. It is the Chair's responsibility to ensure that the quality of instruction is monitored at all levels.

Annually the Department Chair appoints individual tenured faculty members to serve as peer reviewers for specific courses and instructors for that year. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and encourage the entire faculty's 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 Chair are as follows:

- To ensure the peer review of the teaching by probationary tenure-track faculty members at least three times during the first three years of service and at least five times before the faculty member comes up for promotion and tenure review with the goal of adequately assessing teaching at all levels of instruction (e.g., graduate and undergraduate) to which the faculty member is assigned.
- To ensure the peer review of the teaching by probationary clinical faculty members at least three times during the first three years of service. Faculty on five-year terms will be reviewed at least four times before the faculty member comes up for the initial reappointment review with the goal of adequately assessing teaching at all levels of instruction (e.g., graduate and undergraduate) to which the faculty member is assigned. Faculty on three- or four-year terms will be reviewed at least two or three times respectively.
- To ensure the peer review of the teaching by tenured associate professors and non-probationary clinical faculty members at least once every two years, with the goal of assessing teaching at all levels of instruction to which the faculty member is assigned.
- Assistant clinical professors beyond their probationary appointment being considered for promotion must include a minimum of two new peer reviews in their dossiers, and this requirement may mean that evaluations will occur more frequently as candidates prepare for a review.
- Associate professors being considered for promotion must include a minimum of three new peer reviews in their dossiers, and this requirement may mean that evaluations will occur more frequently as candidates prepare for a review.
- Associate clinical professors beyond their probationary appointment being considered for promotion must include a minimum of three new peer reviews in their dossiers, and this requirement may mean that evaluations will occur more frequently as candidates prepare for a review.
- When the need for a peer review is triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching, the Department Chair will schedule a peer review for a faculty member not currently scheduled for review, including full professors.

To ensure a peer review of 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 Chair is informed that the review took place, but the report is given only to the faculty member who requested the review.

Reviews conducted upon the request of the Department Chair or the faculty member focus on the specific aspects of instruction requested by the Chair or faculty member.

Regularly scheduled teaching evaluations by the peers (the first three situations listed above) are comprehensive and include, in addition to classroom visitation, review of course syllabi, instructional materials, assignments, and exams. Departments should make sure that evaluations of a faculty member's teaching over time are conducted by more than one peer. At the beginning of the semester, the committee will request from the faculty member a list of dates on which visitation would be inappropriate because a quiz or exam is being given, a guest speaker is scheduled, etc.

Peer review focuses particularly on aspects of teaching that most students are not qualified to evaluate, such as: appropriateness of curricular choices given the goals of the course (survey as opposed to required major course), implicit and explicit goals of instruction, quality and effectiveness of testing tools, and appropriateness of approach relative to current disciplinary knowledge. As part of its evaluation the committee examines copies of the faculty member's student end-of-course review summaries from recent years.

At the conclusion of the review, the committee submits a written report to the Chair, copied to the faculty member. The faculty member may provide written comments on this report and the committee may respond in writing to those comments if it wishes. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier, unless the faculty member requests that the comments be excluded.

Regularly scheduled reviews are both summative and formative (they provide both an assessment of the faculty member's teaching for use in annual and promotion reviews and advice to improve the faculty member's teaching).