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**DEPARTMENT OF ANESTHESIOLOGY**

**APPOINTMENTS, PROMOTION, AND TENURE**

**THE OHIO STATE UNIVERSITY COLUMBUS, OHIO**



**Wexner  
Medical  
Center**

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**APPOINTMENTS, PROMOTION AND TENURE**  
**Criteria and Procedures for the DEPARTMENT OF ANESTHESIOLOGY**

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## I. Preamble

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

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

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

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

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

All individuals considered for appointment, reappointment, promotion and/or tenure within the Department of Anesthesiology must demonstrate conduct consistent with the [Statement on Professional Ethics](#) of the American Association of University Professors.

Faculty members' activities may change over time, and thus may be consistent with different patterns of performance throughout the course of their careers. All of these different patterns of faculty activity will still lead to consideration for, and granting of, promotion and/or tenure, provided that the department's standard of excellence in all areas (including demonstration of national or international impact and recognition) as appropriate to the faculty level, is met.

The purpose of promotion to a senior faculty position and/or the achievement of tenure is to recognize individual contributions and to build and maintain a strong and diverse university and departmental faculty that will enrich our academic fabric. This document outlines the individual milestones for a faculty member to attain senior rank and/or tenure. It should be appreciated that these guidelines are semi-rigid and there will arise the need for flexibility in the application of the standards to ensure that non-traditional faculty who have made unique and substantial contributions in innovation, leadership, team science, education and clinical care be eligible for promotion and tenure.

## II. Department Mission

The Department of Anesthesiology of The Ohio State University is dedicated to the achievement of excellence in education, research, service and clinical care in all of the various disciplines encompassed by the specialty.

The Department of Anesthesiology is a participant in the education of medical students at all levels of the medical curriculum and in the education of skilled professionals in the basic and clinical medical sciences and allied medical professions. It also educates medical school graduates in an anesthesiology residency program, and in other residency and fellowship programs associated with the specialty. Graduates of these programs become eligible for certification by specialty boards and similar agencies. The department instructs graduate students for Masters and PhD level programs and in other related disciplines. Approval to advise and supervise graduate students must be obtained from the graduate school as detailed in Section XV the Graduate School Handbook. The Department also conducts a variety of teaching programs for practicing physicians. Members of the department may also participate in educational projects for the general public.

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

Physician members of the department are practitioners of anesthesiology and its associated specialties. Members of the department who are non-physician practitioners engage in practice related to their area of expertise. The department strives to maintain a clinical staff with the capability of providing a broad spectrum of anesthesiology and perioperative services.

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

The Department performs regular reassessments of the effectiveness of its efforts in teaching, scholarship and service. A comprehensive evaluation is performed and published as the Department of Anesthesiology Annual Report.

A critical component of the department mission is the dedication to continuous improvement in the quality of its contributions to the discipline and practice of anesthesiology and its various specialties, and to the provision of state of the art perioperative care for all of its patients.

### **III. Definitions**

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

##### **1. Tenure-track Faculty**

The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty whose tenure resides in the department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments and for reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

##### **2. Clinical Faculty**

The eligible faculty for appointment reviews of clinical faculty consists of all tenure-track faculty whose tenure resides in the department and all clinical faculty whose primary appointment is in the department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion of clinical faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department and all non-probationary clinical faculty of higher rank than the candidate whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

##### **3. Research Faculty**

The eligible faculty for appointment reviews of research faculty consists of all tenure-track faculty whose tenure resides in the department, all clinical faculty whose primary appointment is in the department, and all research faculty whose primary appointment is in the department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department, all non-probationary clinical faculty of higher rank than the candidate whose primary appointment is in the department, and all non-probationary research faculty whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

##### **4. Associated Faculty**

The eligible faculty for promotion reviews of associated faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department, all non-probationary clinical faculty of

higher rank than the candidate whose primary appointment is in the department, and all non-probationary research faculty whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

## **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. Similarly, a conflict likely exists if negative interactions resulting in action by Human Resources have occurred involving the candidate and a member of the eligible faculty. 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 an appointment or promotion review of that candidate.

## **6. Minimum Composition**

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

## **B. Promotion and Tenure Committee**

The department has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of at least two professors (at least one of whom shall be a representative of the Clinical Faculty at the Professor level) and three associate professors (at least one of whom shall be a representative of the Clinical Faculty at the associate professor level). The committee's chair and membership are appointed by the department chair. The term of service is annual, with reappointment possible, and is not term limited.

When considering cases involving clinical faculty, the Promotion and Tenure Committee may be augmented by one additional non-probationary clinical faculty member at the associate professor or professor level.

When considering cases involving research faculty the Promotion and Tenure Committee may be augmented by one non-probationary research faculty member at the associate professor or professor level.

## **C. 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 purposes of determining quorum only if the department chair has approved an off-campus assignment.

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

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

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

Absentee ballots and proxy votes are not permitted.

### **1. Appointment**

A positive recommendation from the eligible faculty for appointment is secured when a simple majority of the votes cast are positive.

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

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, and promotion, is secured when a simple majority of the votes cast are positive.

## **IV. Appointments**

### **A. Criteria**

The Department of Anesthesiology is committed to making only those faculty appointments that enhance or have strong potential to enhance the quality of the department. Important considerations include the individual's training and 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, residents 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 in such instances would either be cancelled or continued, as appropriate to the circumstances.

### **1. Tenure-track Faculty**

The Tenure-track exists for those faculty members who primarily strive to achieve sustained evidence of excellence in the discovery and dissemination of new knowledge, as demonstrated by national and international recognition of their scholarship. This may include participation as a co- investigator if the faculty member is 0.5 clinical FTE or greater. Although excellence in teaching and outstanding service to The Ohio State University is required, these alone are not sufficient for progress through the ranks.

Faculty appointed on the tenure track must have the potential for excellence in all three critical areas: teaching, scholarship and service. In addition, faculty members are encouraged to develop programs that reflect the integration of teaching, service and research in a specific content area.

Tenure-track appointments are made in accordance with University Rule [3335-6-02](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the department. There must be an expectation that faculty members who are appointed to the tenure track will be assigned a clinical workload that provides sufficient time for the faculty member to meet the expectations and requirements for tenure track appointments. The appointment process requires the department to provide sufficient evidence in support of a tenure-track faculty appointment so as to ensure that the faculty candidate has

clearly and convincingly met or exceeded applicable criteria in teaching, scholarship, and service. [See Section VII of this document for examples]. Each candidate for appointment should undergo an appropriate faculty review by the department. Consensus in support of appointment must be achieved.

All tenure track appointments in the Department of Anesthesiology at the level of assistant professor shall entail a probationary period. In general, appointments at higher rank shall not entail a probationary period unless there are compelling reasons not to offer tenure.

Consistent with general University policy, faculty members with no clinical responsibilities will have a probationary period of six years consistent with general University policy. Promotion and Tenure must be achieved by the seventh year. Faculty members with significant patient clinical service responsibilities are granted an extended probationary period of up to 11 years, including prior service credit, depending on the pattern of the research, teaching and service workload. An assistant professor with an extended probationary period is reviewed for promotion and tenure no later than the eleventh year as to whether promotion and tenure will be granted at the beginning of the twelfth year.

For individuals not recommended for promotion and tenure after the eleventh year review, the twelfth year will be the final year of employment.

University promotion and tenure policies and criteria are modified on occasion. If these documents are revised during the probationary period, probationary Tenure-track faculty members will be provided with copies of the revised documents.

### **Appointment: Instructor of Anesthesiology on the Tenure Track**

Under certain circumstances, the department may choose to appoint a new faculty member at the **Instructor** level. This title is appropriate for individuals who embody most of the characteristics listed below under Assistant Professor, but have not completed the terminal degree or other relevant training (e.g. residency or fellowship) at the time of appointment. In select circumstances, individuals who are eligible but have not achieved board certification may be appointed as an instructor.

In addition, the department may choose to make an appointment at the instructor level in order to give an individual the opportunity to gain the requisite skills or experience to fully qualify for the Assistant Professor title. When an individual is appointed to the rank of Instructor, the letter of offer should indicate the specific benchmarks and achievements required for promotion to Assistant Professor.

An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end of the third year of appointment, the third year is a terminal year of employment. Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department's eligible faculty, the department chair, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted.

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

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience. Individuals who have completed all the requirements of their terminal degree, but who have not obtained the final degree at the time of initial employment will be appointed as an Instructor. In addition, appointment at the rank of Instructor is appropriate

for individuals who, at the time that they join the faculty, do not have the requisite skills or experience to fully assume the full range of responsibilities of an Assistant Professor, such as pursuit of a fellowship or similar advanced training.

- Evidence of potential for excellence in scholarship. Such evidence might include peer-reviewed publications in a mentored setting, but insufficient evidence of an independent, creative, and productive program of research with potential for external funding.

- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the “[Statement on Professional Ethics](#)” by the American Association of University Professors.

- In aggregate, accomplishments related to the above criteria should be sufficiently compelling that the appointee is judged to have significant potential to attain tenure and a distinguished record as a faculty member in the College of Medicine.

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

A candidate for appointment as **Assistant Professor on the tenure track** should have a record of impact and recognition in scholarship and research and a strong commitment to apply for and secure extramural funding. The following will constitute characteristics of individuals worthy of appointment as assistant professor in the areas of scholarship, service, mentoring and teaching.

#### Scholarship (Ph.D., M.D., D.O. or equivalent)

1. A significant track record of original publications in peer-reviewed journals in a focus area of research as first author, including one or more as senior/corresponding author
2. A commitment to seek peer-reviewed funding as principal investigator or co-investigator from federal, professional or other sources, including NIH, NSF, NCI, AHA, or other federal agencies with indirect cost mechanisms.
3. Emerging reputation for research or scholarship in a specific area.
4. Presentations of scholarly work at local, regional, national or international scientific meetings.
5. Receipt of peer-reviewed research funding from federal, professional or academic sources is not required, although it would demonstrate potential for success
6. Authorship of books, book chapters or other scholarly materials in the candidate’s focus area

(For appointment to the assistant professor level, the individual should have at least achieved accomplishment #1, #2, #4, and either #3 or #5).

#### Teaching (with clinical responsibility)

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

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

#### Mentoring and Teaching (without clinical responsibility)

1. Evidence of teaching competence and accomplishments during training and/or prior employment.

2. Teaching awards obtained during training or prior employment.
3. Participation in the development of educational materials and programs.
4. Some evidence of mentoring of junior trainees as a doctoral or post-doctoral researcher, including undergraduate students, PhD students, or instructing technical personnel in specific laboratory techniques.

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

Service (with clinical responsibility)

1. Attainment of the M.D. degree (or suitable equivalent)
2. Satisfactory completion of residency training in an area appropriate to the appointment.
3. Evidence during residency training or prior employment of a high level of clinical competence.
4. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors
5. Qualifications necessary for attainment of appropriate licensure and medical staff appointment(s).

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

Service (without clinical responsibility)

1. Attainment of Ph.D. degree (or suitable equivalent).
2. Satisfactory completion of postdoctoral training in area suitable to the appointment.
3. Evidence during prior training or employment of research competence.
4. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

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

**Appointment: Associate Professor of Anesthesiology on the Tenure Track**

Criteria for **initial appointment** to the rank of Associate Professor with tenure are identical to the department's criteria for **promotion** to Associate Professor with Tenure, as detailed in Section VII.A of this document. Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency. Offers to foreign nationals require prior consultation with the Office of International Affairs.

**Appointment: Professor of Anesthesiology on the Tenure Track**

Criteria for **initial appointment** to the rank of Professor with tenure are identical to the department's criteria for **promotion** to Professor with tenure, as detailed in section VII.A of this document. Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency. Offers to foreign nationals require prior consultation with the Office of International Affairs.

**Appointment: Associate Professor or Professor without Tenure on the Tenure Track**

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

four years. For faculty without patient clinical service responsibilities the probationary period may not exceed four years. Requests for such appointments require the approval of the Dean of the College of Medicine, and the Executive Vice President and Provost.

An appointment to the rank of Associate Professor or Professor without tenure is probationary, consistent with the provisions of Section V.A [Annual Review Procedures] of this document. During a probationary period a faculty member does not have tenure and is considered for reappointment annually.

Criteria for **initial appointment** to the rank of Associate Professor without tenure are identical to the department's criteria for **promotion** to Associate Professor without Tenure, as detailed in Section VII.A of this document.

## 2. Clinical Faculty

Clinical appointments are equivalent in importance to the College of Medicine as the Tenure track. Clinical appointments exist for those faculty members whose principal career focus is outstanding teaching, clinical and translational research and delivery of exemplary clinical care. Clinical faculty members will generally not have sufficient protected time to meet the robust scholarship requirements of the tenure-track within a defined probationary period. For this reason, the nature of scholarship in clinical appointments differs from that in the tenure track and may be focused on a mixture of academic pursuits including the scholarship of practice, integration, education, as well as new knowledge discovery. Faculty members on clinical appointments may choose to distinguish themselves in any of the department's mission areas. Clinical faculty members may choose to distinguish themselves through several portfolios of responsibility including Clinician-Educator, Clinician-Scholar, and Clinical Excellence pathways. These reflect, respectively 1) teaching excellence; and 2) excellence in scholarly productivity; and 3) scholarship of practice. Clinical faculty members are not eligible for tenure and may not participate in promotion and tenure matters of tenure-track faculty.

All appointments of clinical faculty members are made in accordance with Chapter 7 of the *Rules of the University Faculty* [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the department. At the time of appointment, probationary clinical faculty members will be provided with all pertinent documents detailing department, College of Medicine, and University promotion policies and criteria. If these documents are revised during the probationary period, faculty members will be provided with copies of the revised documents.

Contracts will be for a period of at least three years. The initial contract is probationary, and a faculty member will be informed by the end of each probationary year if he or she will be reappointed for another year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of the contract may be renegotiated at the time of reappointment. Furthermore, each appointee must obtain the appropriate Ohio licensure and other required certifications, including medical staff privileges. The following paragraphs will outline the basic criteria for initial clinical appointments.

### **Appointment: Instructor of Clinical Anesthesiology**

Appointment to the rank of Instructor is made if all of the criteria for the position of Assistant Professor have been met with the exception that the candidate will not have completed the terminal degree, or other relevant training, at the time of the appointment. In addition, appointment at the rank of Instructor is appropriate for individuals who, at the time that they join the faculty, do not have the requisite skills, such as board certification by the American Board of Anesthesiology or the American Osteopathic Board

of Anesthesiology, and/or experience to fully assume the full range of responsibilities of an Assistant Professor. When an individual is appointed as an Instructor, the letter of offer should indicate the specific benchmarks and accomplishments that will be necessary for promotion to Assistant Professor.

Instructor appointments are limited to four years, with the fourth year being the terminal year. In such cases, if the instructor has not completed requirements for promotion to the rank of Assistant Professor by the end of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

When an Instructor is promoted to Assistant Professor, a new letter of offer with a probationary period of three to five years will be issued. Candidates for appointment to the rank of Instructor will have, at a minimum:

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study.
- Evidence of potential for contributions to scholarship as demonstrated by activities such as publications or presentation of abstracts as primary or secondary author. The individual may not as yet have demonstrated substantial evidence of independent contributions as reflected by first author publications and/or presentations.
- Post-doctoral clinical training in an appropriate area.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the "[Statement on Professional Ethics](#)" by the American Association of University Professors.

### **Appointment: Assistant Professor of Clinical Anesthesiology**

The following will constitute characteristics of individuals worthy of appointment as Assistant Professor in the areas of teaching, scholarship and service. Accomplishments in the area of program development will be included within the categories of teaching and service where appropriate.

#### Teaching (with clinical responsibility)

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

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

#### Mentoring and Teaching (without clinical responsibility)

1. Evidence of teaching competence and accomplishments during training and/or prior employment.
2. Teaching awards obtained during training or prior employment.
3. Participation in the development of educational materials and programs.
4. Some evidence of mentoring of junior trainees as a doctoral or post-doctoral researcher, including undergraduate students, PhD students, or instructing technical personnel in specific laboratory techniques.

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

#### Research and Scholarship (with clinical responsibility)

1. Publications in peer-reviewed journals.
2. Presentations of scholarly work at local, regional, national or international forums.

3. Initial development of a specialized area of research or scholarship.
4. Co-authorship of book chapters or other scholarly materials.

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

Research and Scholarship (without clinical responsibility)

1. Publications in peer-reviewed journals.
2. Presentations of scholarly work at local, regional, national or international forums.
3. Initial development of a specialized area of research or scholarship.
4. Co-authorship of book chapters or other scholarly materials.

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

Service (with clinical responsibility)

1. Attainment of the M.D. degree (or suitable equivalent).
2. Satisfactory completion of residency training, and fellowship training, if applicable, in an area appropriate to the appointment.
3. Evidence during residency and fellowship (if applicable) training or prior employment of a high level of clinical competence.
4. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.
5. Qualifications necessary for attainment of appropriate licensure and medical staff appointment(s).

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

Service (without clinical responsibility)

1. Attainment of Ph.D. degree (or suitable equivalent).
2. Satisfactory completion of postdoctoral training in area suitable to the appointment.
3. Evidence during prior training or employment of research competence.
4. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

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

**Appointment: Associate Professor of Clinical Anesthesiology**

Criteria for **initial appointment** to the rank of Associate Professor of Clinical Anesthesiology are identical to the department's criteria for **promotion** to Associate Professor for clinical faculty, as detailed in Section VII.A of this document.

**Appointment: Professor of Clinical Anesthesiology**

Criteria for **initial appointment** to the rank of Professor of Clinical Anesthesiology are identical to the department's criteria for **promotion** to Professor for clinical faculty, as detailed in section VII.A of this document.

### **a. Clinical Excellence Pathway**

The Clinical Excellence Pathway exists for faculty members who focus on exemplary clinical care, unique areas of emphasis in patient management, or outstanding service to a Department, the College of Medicine, and OSU. Faculty members on this pathway typically devote 90% or more of their effort to patient care and/or administrative service. The following paragraphs will outline the basic criteria for initial appointments in the Clinical Excellence pathway.

#### **Appointment: Assistant Professor of Clinical Anesthesiology on Clinical Excellence Pathway**

A candidate for appointment as **Assistant Professor** should have a demonstrated record of impact and recognition in clinical care. The following will constitute characteristics of individuals worthy of appointment as assistant professor in the areas of teaching, scholarship and service. Accomplishments in the area of program development will be included within the categories of teaching and service where appropriate.

##### Teaching (MD, DO or equivalent)

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

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

##### Scholarship (MD, DO or equivalent)

1. No Requirements

##### Service (MD, DO or equivalent)

1. Attainment of the M.D. degree (or suitable equivalent).
2. Satisfactory completion of residency training in an area appropriate to the appointment.
3. Evidence during residency training or prior employment of a high level of clinical competence.
4. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.
5. Qualifications necessary for attainment of appropriate licensure and medical staff appointment(s).

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

#### **Appointment: Associate Professor of Clinical Anesthesiology on the Clinical Excellence Pathway**

Criteria for **initial appointment** to the rank of Associate Professor of Clinical Anesthesiology are identical to the department's criteria for **promotion** to Associate Professor in clinical excellence faculty, as detailed in Section VII.A of this document.

#### **Appointment: Professor of Clinical Anesthesiology on the Clinical Excellence Pathway**

Criteria for **initial appointment** to the rank of Professor of Clinical Anesthesiology are identical to the Department's criteria for **promotion** to Professor in clinical excellence faculty, as detailed in section VII.A of this document

### 3. Research Faculty

Research appointments exist for faculty members who focus principally on scholarship and research education. Notably, the standards for scholarly achievement are comparable to those for individuals on the Tenure-track for each faculty rank. A research faculty member may, but is not required to, participate in limited educational and service activities. Research training of undergraduates and postgraduate students counts as educational and service activity. Research faculty members are expected to contribute to the Department's research mission and are expected to demonstrate excellence in scholarship as reflected by high quality peer-reviewed publications and successful competition for extramural funding.

Appointments to the Research faculty are made in accordance with Chapter 7 of the *Rules of the University Faculty* [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the department.

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

Research faculty are eligible to serve on University committees and task forces but not on University governance committees. Research faculty are also eligible to advise and supervise graduate and postdoctoral students and to be a principal investigator on extramural research grant applications. Approval to advise and supervise graduate students must be obtained from the graduate school as detailed in Section 15 of the [Graduate School Handbook](#).

#### **Appointment: Research Assistant Professor**

A candidate for a research appointment should have a demonstrated record of research expertise at a local or regional level.

The following will constitute characteristics of individuals worthy of appointment as research assistant professor in the areas of teaching, research and service.

#### Teaching

1. No requirements

#### Scholarship

1. Publications in peer-reviewed journals.
2. Presentations of scholarly work at local, regional, national or international forums.
3. Commitment to seek peer-reviewed research funding ideally from federal, professional, or academic sources. Industry funding is acceptable.
4. Receipt of peer-reviewed research funding from federal, professional or academic sources.
5. Initial development of reputation for specific area of research or scholarship.
6. Authorship of books, book chapters or other scholarly materials.

(For appointment to the research assistant professor level, the individual should have at least achieved accomplishment #1 or #2 and 3)

### **Training**

1. Attainment of Ph.D. degree (or suitable equivalent).
2. Satisfactory completion of postdoctoral training in area suitable to the appointment.
3. Evidence during prior training or employment of research competence.
4. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

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

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

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

### **Appointment: Research Professor**

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

## **4. Associated Faculty**

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

Associated Faculty, as defined in the *Rules of the University Faculty* [3335-5-19 \(B\)](#), includes "persons with adjunct titles, clinical practice titles, visiting titles, and lecturer titles," plus "professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than fifty percent service to the university." Members of the associated faculty are not eligible for tenure, may not vote at any level of governance unless approved to do so by the majority of the tenure track faculty, and may not participate in promotion and tenure matters. Appointments to the associated faculty are for up to five years. Renewal decisions are based upon the faculty member's documented continued contributions to the department. There is no presumption of renewal.

Associated faculty members are appointed based on participation in the teaching, patient care, research, academic, or leadership missions of the College of Medicine. Associated faculty members may focus on a limited number of the aspects of the College mission and may have less than a 50% appointment. Faculty with less than a 50% appointment and tenure-track titles must be appointed to the Associated faculty. These members of the faculty may be paid or unpaid. The criteria for appointment and promotion for Associated faculty differ from those of the other faculty types, consistent with the more focused mission of these appointments.

Associated faculty with patient care responsibilities will be given clinical titles (e.g., Clinical Instructor of practice, Clinical Assistant Professor of practice) and those without clinical responsibilities will be given adjunct titles (e.g., Adjunct Assistant Professor, Adjunct Associate Professor) reflective of their Associated faculty status.

Within the Department of Anesthesiology, criteria for appointment and promotion of Associated faculty shall be identical to those for clinical faculty members in the categories of research, teaching and service. For assistant professor, see section IV; for associate professor and professor, see section VII.

#### **Appointment: Instructor and Assistant Professor**

Faculty appointed as Instructor or Assistant Professor in the associated faculty will have significant focused involvement in at least one aspect of the academic mission of the department at the Medical Center or its affiliated institutions. The distinction between these two levels of appointment shall rest upon the individual's credentials at the time of appointment. In general, individuals who have completed residency training but have not yet achieved Board Certification will be appropriately appointed as Instructor; individuals who have achieved Board Certification are more appropriate for appointment as Assistant Professor.

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

The criteria for **initial appointment** to the rank of Associate Professor in the associated faculty are identical to those criteria for **promotion** to this rank as outlined in Section VII of this document.

#### **Appointment: Professor**

The criteria for **initial appointment** to the rank of Professor in the associated faculty are identical to those criteria for **promotion** to this rank as outlined in Section VII of this document.

### **5. Courtesy Appointments for Faculty**

The Department of Anesthesiology may grant courtesy appointments to faculty members whose primary activity falls within the purview of another College or University department. A faculty member who is granted such an appointment must possess the credentials and skills that will have the potential to enhance the mission of the Department of Anesthesiology in teaching, research and/or service. Continued appointment in a courtesy capacity requires evidence of substantial ongoing contributions to the Department of Anesthesiology, commensurate with the faculty rank determined by the primary department. Such appointments shall require approval from the primary department for the initial appointment and for promotion. The faculty rank in the Department of Anesthesiology shall be identical to that held in the tenure initiating unit. Such appointments shall entail no salary from the Department of Anesthesiology.

### **B. Procedures**

See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the Office of Academic Affairs [\*Policies and Procedures Handbook\*](#) for information on the following topics:

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

## 1. Tenure-track Faculty

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

Searches for tenure-track faculty proceed as follows:

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

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

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

The search committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the University Personnel Postings through the Office of Human Resources [OSU HR](#) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a national professional journal. The University does not grant tenure in the absence of permanent residency ("green card"), and strict U.S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a in a field-specific nationally prominent professional journal.
- 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 department 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).

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; students; the department chair; and the dean or designee. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the eligible faculty meet to discuss perceptions and preferences, and to vote on each candidate. The eligible faculty reports a recommendation on each candidate to the department chair.

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 department 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.

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

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs. The university does not grant tenure in the absence of permanent residency status. The department will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

## **2. Clinical Faculty**

Searches for clinical faculty generally proceed identically as for tenure-track faculty, and exceptions to a national search require approval only by the college dean.

## **3. Research Faculty**

Searches for research faculty proceed identically as for tenure-track faculty, and exceptions to a national search require approval only by the college dean.

## **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 department chair, the college dean, and the executive vice president and provost.

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

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

## **5. Associated Faculty**

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

Compensated associated appointments may be made for a period of up to five years.

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

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

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for clinical faculty (see Promotion and Tenure and Promotion Reviews below), 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 university level if the dean's recommendation is negative.

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

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

## **V. Annual Review Procedures**

The department follows the requirements for annual reviews as set forth in the [Policy on Faculty Annual Review](#).

The annual reviews of every faculty member are 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.

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

### **A. Probationary Tenure-track Faculty**

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

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

chooses).

If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-03 C2](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

### **1. Fourth-Year Review**

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

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

The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty votes 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 department review, the formal comments process (per Faculty Rule [3335-6-04](#)) is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal.

### **2. Eighth Year Review**

Faculty members with an 11 year probationary period who have not achieved promotion and tenure by the eighth year will undergo a formal eighth year review, utilizing the same principles and procedures as the fourth year review.

### **3. Exclusion of Time from Probationary Period**

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

## **B. Tenured Faculty**

Associate professors are reviewed annually with a written performance review submitted to the department chair. The department 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. The faculty member may provide written comments on the review.

Professors are reviewed annually by the department 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 university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

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

### **C. Clinical Faculty**

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

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

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

### **D. Research Faculty**

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

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

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

### **E. 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.

Associated Faculty that are not compensated do not require formal review in order to be reappointed, although the Chair may conduct a review if they so choose.

## **VI. Merit Salary Increases and Other Rewards**

### **A. Criteria**

Except when the university dictates any type of across the board salary increase, all funds for annual salary increases and/or annual academic performance bonuses are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that compensation is consistent with compensation plan policies established in the College of Medicine.

On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to recognize non- continuing contributions that justify reward but do not justify permanent salary increases. Such payments/rewards are considered throughout the year, as appropriate.

Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the prior academic year, with attention to patterns of increasing or declining productivity in relation to previous academic years. Faculty with high quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are less likely to receive a salary increase or an academic performance bonus.

Faculty who fail to submit the required documentation for an annual review at the required time will receive no salary increase or academic performance bonus 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.

### **B. Procedures**

The department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. In formulating recommendations, the department chair consults with the department vice chairs. 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 three groups based on continuing performance (exceeds, meets and fails to meet expectations) and considers market and internal equity issues as appropriate.

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.

## **C. Documentation**

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

- updated CV, which will be made available to all faculty in an accessible place
- updated Office of Academic Affairs dossier outline, [\*Policies and Procedures Handbook\*](#), Volume 3

Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication. An accepted but unpublished work submitted for consideration in a given annual review may not be resubmitted after publication for consideration in a future annual review.

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

The time period covered by the documentation described below is the previous 12 months.

### **1. Teaching**

Learner (student, resident and fellow) evaluation of teaching will follow the evaluation process employed by the College of Medicine.

Peer evaluation of teaching reports as required by the department, as described in this document in Section X B. Peer Evaluation of Teaching.

Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed. An accepted but unpublished work submitted for consideration in a given annual review may not be resubmitted after publication for consideration in a future annual review.

Other relevant documentation of teaching as appropriate.

### **2. Scholarship**

Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form with no further revisions needed.

Documentation of grants and contracts received.

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

### 3. Service

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

## VII. Promotion and Tenure and Promotion Reviews

### A. Criteria

Outlined below are the Department of Anesthesiology's formal criteria for academic advancement, including promotion and awarding of tenure.

In evaluating a 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 emphasis 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. As the College of Medicine diversifies and places new emphasis on interdisciplinary endeavors and program development, instances will arise in which the proper work of a faculty member may depart from established academic patterns, especially with regard to awarding tenure, when applicable. Thus, care must be taken to apply criteria flexibly, but without compromise in requiring the essential qualifications for promotion.

#### 1. Tenure Track

##### a. Promotion to Associate Professor with Tenure (Tenure Track)

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 a commitment of lifetime employment. 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.

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping the department's ability to perform and to progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. 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.

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](#).

The accomplishments listed below in the areas of teaching, scholarship, and service are expected of faculty for promotion to associate professor with tenure. In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

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

Teaching: A distinctive record of teaching and mentoring excellence is required for promotion and tenure. Excellence is demonstrated by positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching awards and other honors are also supportive of teaching excellence. A faculty member may also demonstrate favorable impact on teaching and training programs, including curricular innovation, new teaching modalities or methods of evaluating teaching, and program or course development. Development of impactful, innovative programs that integrate teaching, research and patient care are valued.

Teaching excellence may be demonstrated through evaluations and peer feedback based on presentations at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, and the like. Active participation as a mentor in training grants such as NIH T32 or K-awards is highly valued as a teaching and mentoring activity.

#### Teaching Criteria (M.D., D.O. or equivalent)

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

1. Consistently high level evaluations of teaching performance by students, residents, peers.
2. Divisional or departmental teaching awards as voted by medical students, residents or other trainees.
3. Participation in the development of new educational programs for teaching students, residents and/or fellows at Ohio State.
4. K-Award mentorship
5. Participation in the publication of material of an instructional nature or evidence of production of other forms of teaching material/media
6. Participation in teaching for local, regional and national professional organizations.
7. Participation in the development of educational materials for local, regional and national professional organizations.

(To reach the associate professor level the faculty member is expected to have at least three of these

accomplishments, including #1 or #2. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

### Teaching Criteria (Ph.D.)

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

1. Evidence of regular participation in the educational processes within the division, department or college
  - a) Course work: organization and oversight of approved academic courses lectures provided for approved academic courses
  - b) Documented training of individuals or groups in research skills or techniques, which may include:
    - Technicians and laboratory assistants
    - Pre medical students
    - Graduate students
    - Postdoctoral fellows
    - Medical research fellows
    - Professional colleagues
  - c) K-Award mentorship
2. Evidence of teaching excellence
  - a) Consistently high level evaluations of teaching performance by students and peers.
  - b) Divisional, departmental or collegiate teaching awards
3. Development of new educational programs for teaching within the institution.
4. Publication of instructional materials (e.g. digital and other formats).
5. Participation in teaching for local, regional or national organizations.
6. Development of educational materials for local, regional or national organizations.

(To reach the associate professor level the faculty member is expected to achieve accomplishment in #1 and #2, at a minimum. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

### **Teaching**

For promotion to associate professor with tenure, a faculty member is expected to have:

1. Provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge
2. Demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm
3. Demonstrated creativity in the use of various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment
4. Engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process
5. Provided appropriate and timely feedback to students throughout the instructional process
6. Treated students with respect and courtesy
7. Improved curriculum through revision or new development of courses and/or academic programs
8. Engaged in documentable efforts to improve teaching including evidence of peer review of teaching as outlined in Section X.B. Peer Evaluation of Teaching

Scholarship: Scholarship is broadly defined as the discovery and dissemination of new knowledge. Achievement of excellence in scholarship is demonstrated by discovery of a substantial body of original knowledge that is published in quality, peer-reviewed journals or proceedings, and achievement of a national reputation for expertise and impact in one's field of endeavor. Such endeavors might include laboratory investigation, development of innovative programs, development and successful commercialization of intellectual property, theoretical insight, innovative interpretation of an existing body of knowledge, clinical science, public health and community research, and implementation science, among many potential others. Participation in collaborative, multidisciplinary research and team science is highly valued, especially to the extent that a faculty member's record of collaborative scholarship includes manuscripts on which authorship is first, senior, or corresponding; or the individual input of the faculty member as a middle author is uniquely contributory and clearly evident.

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

The development of a competitive, innovative and distinctive program of scholarship is also evidenced by acquisition of peer-reviewed, nationally competitive extramural support as a principal investigator, multiple investigator, or co-investigator. To encourage team science, principal investigator and co-principal investigator will be assigned equal credit for all purposes. Similarly, status as principal investigator or major effort (20% or greater) as co-investigator of a project or a program grant is an acceptable demonstration of extramural funding.

Funding by the National Institutes of Health or equivalent extramural funding agency (e.g. AHA, NSF, NCI, etc.) as a principal investigator, Co-PI, or significant Co-I on multiple R01's as a key member of a team effort is required for faculty devoting  $\geq 0.5$  FTE to research. In rare occasions, if a faculty is assigned much less time to devote to research due to their clinical, educational, administrative or leadership responsibilities, this level of success in funding is not required for promotion and/or tenure. In such cases, funding as a significant Co-Investigator on a grant from the NIH or equivalent granting agency together with other smaller awards as Principal Investigator from nationally competitive peer reviewed funding agencies including support from national charitable foundations (e.g. American Cancer Society), industry, Anesthesiology-specific research foundations such as Foundation for Anesthesia Education and Research (FAER) and International Anesthesia Research Society (IARS) can satisfy this criterion. Other agencies considered equivalent to the NIH are federal entities such as the Centers for Disease Control and Prevention, the Department of Defense, and the National Science Foundation. Faculty members are encouraged to collaborate with other investigators and may, under certain circumstances, meet the requirement for extramural support for their research as a significant co-investigator and contributor to a research program, or other comparable role (as noted above). Funding through pharmaceutical or instrumentation companies for investigator-initiated proposals, or as local principal investigator for multi-center trials also meets the requirement of nationally competitive extramural funding (as qualified above). In rare cases, faculty members who generate support for their research programs through creation of spin-off companies or development of intellectual property may also meet the criteria for extramural funding depending on the overall impact of their efforts.

Evidence of sustained or multiple grant support is another crucial indicator of expertise in the field. Candidates for promotion to associate professor with tenure who are without significant clinical

responsibilities must have obtained NIH or equivalent funding as a principal investigator (PI) on an R01 or as one of several program directors or principal investigators on a large NIH grant (multiple- PD/PI) (*i.e.*, multicenter R01 or equivalent such as a project on a P01, U54, etc.), or equivalent funding from the National Science Foundation (NSF), or have obtained a mid-career K award. They should ideally have demonstrated sustainability of their research program by renewal of the NIH award and/or by garnering a second distinct NIH grant and/or another nationally competitive, peer reviewed grants. The latter may include support from prominent national charitable foundations (*e.g.*, American Heart Association, American Diabetes Association, American Cancer Society, the Lupus Foundation, the March of Dimes, etc.), a major industry grant, or other federal entities such as the Centers for Disease Control and Prevention, Department of Defense and the National Science Foundation. Contribution as major effort co-investigator on a major RO1 scale award will also count as evidence supporting sustainability of research program. Salary recovery is expected as outlined in the College of Medicine guidelines for faculty on the tenure track.

Overall, the number of publications required for awarding of promotion and tenure should be consistent with Department Workload policies (see Pattern of Administration), and sufficient to persuasively characterize faculty members' influence in discovery of new knowledge in their fields. Thus, both quality and quantity are important considerations. Publication as first or senior author in the field's higher impact factor journals is an important variable that converges with other factors such as the extent of external funding, invited lectures, invited manuscripts, editorial boards, peer-review panels, and external letters of evaluation in the decision to promote and award tenure. It should be noted that there are highly specialized journals that may have high impact in the field, but a relatively low overall impact factor and citation index. Although the total body of scholarship over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on scholarly achievements as a faculty member at The Ohio State University. It should be appreciated that scholarship exceeding the specified range is not sufficient or a guarantee of a positive tenure or promotion decision, especially if it occurs in isolation or in the context of poor performance in other areas.

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

#### Scholarship (M.D., D. O. or equivalent)

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

1. Multiple publications in peer-reviewed journals (numbers consistent with quantitative standards of department)
2. Peer reviewed publications in prestigious journals, the majority of which are first-authored or senior authored.
  - a) As a guideline the successful candidate MD faculty with <0.5cFTE (*i.e.* at a minimum, a majority of their time is non clinical responsibility devoted to research) should have 25-50 publications, with at least 15 occurring since the OSU appointment depending on % non-clinical

time, in journals with a mean impact factor of 2.6. The list will be reviewed and updated every 4 years, as appropriate. The faculty are encouraged to publish in other scientific journals of comparable or higher impact factor as well.

b) This guideline is reduced for faculty with clinical responsibilities as follows:

For faculty with greater than 50% clinical effort (>0.5 cFTE) the minimum number of publications should be 20-35 publications with 10 occurring since the date of the OSU appointment in peer-reviewed scientific journals in their specific area of focus. The successful candidate should have at least one third of their papers as first or senior authored publications.

3. Presentations of scholarly work at local, regional, national or international forums.
4. Funded grant from national or international sources at cumulative monetary levels equivalent to an R01 or patents generating licensing income. Team science is strongly encouraged.
  - a) The ideal candidate with clinical duties for < 0.5 FTE is expected to have 50% salary recovery at a minimum from NIH on R01 funded grants (or equivalent) as Principal Investigator
  - b) The ideal candidate for a faculty member with clinical duties > 0.5 cFTE is expected to have a minimal acceptable salary recovery of 25% (this will be rare)
5. For faculty with > 0.5 cFTE should have participation in extramural funding as Co-Investigator or Co-PI on grant(s) from the NIH or equivalent granting agencies and charitable national foundations as Principal Investigator (e.g. FAER, IARS, industry).
6. Development of an area of research or scholarship with established national recognition.
7. Service on editorial board of journal(s).
8. Publications of book(s).
9. Publication of chapter(s) in books.

(To reach the associate professor level with tenure the faculty member who is < 0.5 Clinical FTE is expected to achieve accomplishments #1, #2, #3, #4a and #6 at a minimum. A faculty member who is >0.5 Clinical FTE is expected to achieve #1, #2, #3, 4b, # 5 and #6) .

#### Scholarship (Ph.D.)

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

1. Regular publication in peer-reviewed journals the majority of which are first or senior authored.
  - a) As a guideline the successful candidate should have 25-50 publications with 15-25 occurring since the OSU appointment in journals with an average impact factor of 2.9.
2. Presentation of scholarly works at multiple, national or international forums.
3. Peer-reviewed research funding from national sources at monetary levels indicative of competitive research significance as evidenced by the following: Principle investigator on at least one R01 equivalent or patents that generate licensing income combined with significant contributions of effort as co-investigator on multiple grants may be considered.
  - a) The ideal candidate with no clinical responsibility will have salary recovery with a minimum expected level of 50%.
4. Development of a growing national reputation for research in one or more areas of importance to the scientific discipline.
5. Service on the editorial board of professional journal(s).
6. Service on grant review boards for local, regional, national or international funding organizations.
7. Retention as consultant by professional or commercial organizations.
8. Publication of books or book chapters.

(To reach the associate professor level with tenure the faculty member is expected to achieve accomplishments #1, through #4, and either #5 or #6, at a minimum).

## Scholarship

For promotion to **associate professor with tenure**, a faculty member is expected to have:

Published a body of work in high-quality peer-reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:

1. Quality, impact, quantity
2. Unique contribution to a line of inquiry or repackaging of earlier work
3. Rigor of the peer-review process and degree of dissemination of publication venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published scholarship more than unpublished scholarship, and original works more than edited works.
4. Empirical work, demonstrating the candidate's ability to conduct such work and to mentor future scholars, is preferred to synthetic work at this stage of career
5. While collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
6. A demonstrated ability to obtain and potential to sustain research program funding. Competitive peer-reviewed funding is weighted more favorably than other types, since it serves as a quality indicator of research programs, and grants requiring the exercise of intellectual creativity are weighted more heavily than those that largely dictate the work to be done. Research funding is a means to an end; funding that has not led to research productivity is disregarded in the review.
7. A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.
8. Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

Service: Service is broadly defined to include administrative service to the department, the college or the university, exemplary patient care, program development, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the university. Evidence of service can include appointment or election to department, College of Medicine, hospital, and/or university committees and affirmative action or mentoring activities. Evidence of professional service to the faculty member's discipline can include journal editorships, reviewer for journals or other learned publications, offices held and other service to local and national professional societies. Evidence of the provision of professional expertise to public and private entities beyond the University includes: reviewers of proposals, external examiner, service on panels and commissions, program development, professional consultation to industry, government, and education. Professional expertise provided as compensated outside professional consultation alone is insufficient to satisfy the service criterion.

### Service (M.D., D.O. or equivalent)

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

reflected by:

1. Completion of specialty Board certification.
2. Maintenance of specialty board certification, if applicable.
3. Evidence of a high-level of clinical competence.
4. Active participation in divisional, departmental, college and/or university committee functions.
5. Participation in committee activities for local, regional and national organizations.
6. Elected office in local, regional or national professional organizations.
7. Other meritorious community service activities
8. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.
9. Maintenance of appropriate licensure and medical staff appointment(s).
10. Participation in the development of new programs for the advancement of medical practice or patient care.

(To reach the associate professor level, the faculty member is expected to achieve accomplishments #1, #2 #3, #4, #5, #8 and #9 at a minimum.)

#### Service (Ph.D.)

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

1. Direction/operation of a service laboratory for division, department, hospital, college, university or professional organization.
2. Active participation in divisional, departmental, college or university committee functions.
3. Active participation in committee functions for local, regional or national organizations.
4. Elected office in local, regional or national professional organizations.
5. Other meritorious community service activities.
6. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

(To reach the associate professor level the faculty member is expected to achieve accomplishments #2 and #6, at a minimum.)

#### **Service**

For promotion to associate professor with tenure, a faculty member is expected to have:

1. Made substantive contributions to the governance of the department in a manner that facilitates positive contributions by others
2. Demonstrated the potential for useful contributions to the profession

#### **b. Promotion to Associate Professor without Tenure (Tenure Track)**

Under unusual circumstances the department may choose to offer promotion to the rank of associate professor without tenure. Candidates for such a promotion will have a level and pattern of achievement that demonstrates that the candidate is making progress toward, but has not yet achieved all of the stated criteria for promotion with tenure. In the Department of Anesthesiology this title will be restricted to physician (M.D., D.O.) candidates.

Faculty members who are promoted without the award of tenure must be considered for tenure no later than the mandatory review date or six years following promotion, whichever comes first.

Specific criteria for this type of promotion will be based on a modification of the criteria listed in section VII.A. These special criteria for promotion to **Associate Professor without tenure**, in the Department of Anesthesiology, are listed below:

Teaching (M.D., D.O. or equivalent)

Identical to promotion with tenure.

Scholarship (M.D., D. O. or equivalent)

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

1. Multiple publications in peer-reviewed journals the majority of which or first or senior authored
  - a) As a guideline the successful candidate should have 15 -25 publications with at least 10 occurring since the OSU appointment. The mean impact factor of the top ten publications should be at or above 2.6. The faculty are encouraged to publish in other scientific journals as well.
  - b) This guideline is reduced for faculty with greater clinical responsibilities as follows: for faculty with greater than 50% clinical effort (> 0.5 cFTE) the minimum number of publications should be at least 15 publications with at least 10 occurring since the date of the OSU appointment. The mean impact factor should at the median.
2. Presentations of scholarly work at national or international meetings.
3. For < 0.5 cFTE, PI on a K08, R 21, R03 or equivalent; or a co-investigator ( $\geq 20\%$  release time) on an R01 or equivalent award and a scored R01. For > 0.5 c FTE, co- investigator status on R21, R03 or R01 ( $\geq 10\%$  release time) or equivalent grant(s) is required unless as may occur in rare circumstances  $\geq 25$  peer reviewed publications and national reputation are evident without this level of extramural funding.
  - a) The ideal candidate with  $\leq 0.5$  cFTE will have salary recovery of 20%.
  - b) For > 0.5 cFTE the ideal candidate will have salary recovery of 10%.
4. Development of an area of research or scholarship with growing national recognition.
5. Service on editorial board of journal(s).
6. Publications of book(s).
7. Publication of chapter(s) in books.

(To reach the associate professor level without tenure the faculty member is expected to achieve the following accomplishments: either #1, #2, #3 and #4 at a minimum.)

Service (M.D., D.O. or equivalent) Identical to promotion with tenure

**c. Promotion to Professor (Tenure-track)**

Awarding promotion to the rank of Professor with tenure must be based upon clear and unambiguous evidence that the candidate has a sustained, eminent record of achievement recognized nationally and internationally. The general criteria for promotion in scholarship, teaching and service require more advanced and sustained quantity, quality and impact than that required for promotion to associate professor. Importantly, the standard for external reputation is substantially more rigorous than for promotion to Associate Professor with tenure, and should demonstrate national leadership. This record of excellence must be evident from activities undertaken and accomplishments achieved since being

appointed or promoted to the rank of associate professor.

The following will constitute accomplishments characteristic of individuals worthy of promotion to **Professor** in the areas of teaching, research, service.

Teaching: A record of teaching excellence as an Associate Professor must continue to justify promotion to the rank of Professor. The faculty member should make positive contributions to the teaching mission as an Associate Professor. Evidence of peer review of teaching should be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.

Teaching (M.D., D.O. or equivalent, with clinical responsibility)

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

1. Consistently high level evaluation of teaching performance by students, residents and peers.
2. Evidence of regular participation in the educational process within the division, department or college.
3. College of Medicine teaching awards as voted by medical students and/or residents.
4. Leadership role in the development of new educational programs for teaching students, residents and/or fellows at Ohio State.
5. Leadership role in publication of material of an instructional nature or in production of other forms of teaching material.
6. Development of innovative teaching techniques and vehicles.
7. Leadership role in teaching for local and regional professional organizations. Participation in teaching for national professional organizations.
8. Leadership role in development of educational materials for local and regional professional organizations. Participation in the development of educational materials for national organizations.
9. T-32 or K-award Mentorship
10. Clear evidence of significant clinical and/or scholarly mentorship of trainees at any level.

(To reach professor level, the faculty member is expected to achieve at least three of these accomplishments, including #1 and #2. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

Teaching (Ph.D., or MD/DO with no clinical responsibility)

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

1. Evidence of regular participation in the educational processes. Teaching may be in the form of didactic teaching, or one-on-one mentoring of trainees in research and scholarly activities.
  - a) Documented training of individuals or groups in research skills or techniques, which may include technicians, laboratory assistants, graduate students, postdoctoral fellows, medical research fellows, residents, fellows or junior faculty
  - b) Clear evidence of significant scholarly mentorship of trainees at any level. For example, mentoring of trainees supported by NIH K awards, T-32, or LRP, or anesthesiology-specific awards such as FAER, AHA, IARS or equivalent training grants. Mentoring at least one trainee is required for promotion.
2. Evidence of consistently high level of performance in teaching or mentoring.
3. Leadership in development of new educational programs for teaching within the institution.
4. Development of innovative teaching techniques or vehicles.
5. Leadership in production of instructional materials

6. Participation in CME- accredited teaching for local, regional or national organizations.
7. Leadership in development of educational materials for local, regional or national organizations.

(To reach professor level, the faculty member is expected to achieve at least three of these accomplishments, including accomplishments #1 and #2. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

Scholarship: A sustained record of external funding and an enhanced quality and quantity of scholarly productivity as an Associate Professor is required for promotion to Professor. Clear evidence of a national reputation including: election to membership to senior academic organizations with competitive membership, election to a leadership position to a national organization, service as a national committee or task force chair, chair of an NIH or other federal review panel, regular membership on an NIH study section, peer recognition or awards for research, and editorships and lectures in international venues. Candidates for promotion will be expected to have developed and maintained nationally competitive and peer reviewed extramural funding to support their research program including sustained NIH funding. At a minimum, basic science candidates for promotion to professor must be a PI or multiple-PD/PI on at least one NIH funded R01 or equivalent grant with a history of at least one competitive renewal and another nationally competitive grant, or have simultaneous funding on two NIH awards. For clinician scientists seeking promotion to professor, accommodation should be made in their grant requirements based on their clinical duties.

Scholarship (M.D., D.O. or equivalent, with clinical responsibility)

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

1. The successful candidate with an assignment as  $< 0.5$  cFTE is expected to have  $\geq 50$  peer-review publications with a mean impact factor of 2.9. The faculty are encouraged to publish in other scientific journals as well. Candidates for promotion to professor should ideally have at least 20 peer-reviewed publications since their promotion to associate professor, a majority of which should be as senior author. A lower number of publications may be acceptable if publications are of significantly greater impact.
2. The successful candidate with an assignment of  $> 0.5$  clinical FTE is expected to have  $\geq 40$  publications with a mean impact factor of 2.9. Candidates for promotion to professor should ideally have at least 15 peer-reviewed publications since their promotion to associate professor, 75% of which should be original, peer-reviewed research manuscripts; a majority of which should be as senior author. A lower number of publications may be acceptable if publications are of significantly greater impact.
3. Publications of major significance in prestigious journals, the majority of which are first or senior authored. For faculty with  $\geq .5$  clinical FTE one third of the publications should be first or senior authored.
4. Presentations of scholarly work at national or international meetings.
5. Sustained grant funding as principal investigator from national sources at levels indicating major research significance. Extramural funding since promotion to associate professor is required.
  - a) The successful candidate with an assignment as  $< 0.5$  clinical FTE will show a track record of continuous funding and ideally be the PI or Co-PI on an NIH R01 or equivalent extramurally funded, peer-reviewed grant, or significant Co-I or co-PI on multiple R01 grants or equivalent grants.
  - b) The successful candidate with an assignment as  $> 0.5$  clinical FTE will be a significant Co-Investigator on multiple R-grants (including at least 1 R01) or equivalent grants, and participate in an industry funded clinical trial.
  - c) Salary Recovery Expectations
    - (i) The ideal candidate with clinical duties for  $< 0.5$  cFTE is expected to have 25%-50% salary

recovery at a minimum from NIH on R01 funded grants (or equivalent) as Principal Investigator or Co-PI.

(ii) The ideal candidate for a faculty member with clinical duties > 0.5 cFTE is expected to have a minimal acceptable salary recovery of 10%-25%.

6. International recognition as an expert in a particular area of research or scholarship, or national leadership in the field. Evidence to support this could include:
  - a. Service on multiple NIH or other study sections
  - b. Regular member of NIH study section
  - c. Chair of NIH or other study section
  - d. Editorship or Associate Editorship of peer-reviewed journal(s), including section editor of a special issue of a peer-reviewed journal.
  - e. Organizer of national scientific symposia in area of focus
  - f. Lead authorship of books.
  - g. Lead authorship of chapters in books.
  - h. Officer in national organization related to your field of expertise

(To reach the professor level, the faculty member is expected to achieve accomplishments #1 or #2, and #3 through #6; for #6, one of 'a.-c.' and at least two of 'd.-h.')

Scholarship (Ph.D. or MD/DO with no clinical responsibility)

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

1. For faculty with no clinical duties, 50-70 papers with a mean impact factor 3-6, at least 75% of which are original, peer-reviewed research manuscripts, with first or senior authorship on a majority of the publications. Candidates for promotion to professor should ideally have at least 25 peer-reviewed publications since their promotion to associate professor. A lower number of publications may be acceptable if publications are of significantly greater impact.
2. Publications of major significance in prestigious journals, the majority of which are first or senior authored.
3. Presentations of scholarly work at national or international meetings.
4. Sustained grant funding as principal investigator from national sources at levels indicating major research significance. Extramural funding since promotion to associate professor is required.
  - a) The successful candidate with an assignment as  $\leq 0.5$  clinical FTE will show a track record of continuous funding and ideally be the PI or Co-PI on an NIH R-01 or equivalent extramurally funded, peer-reviewed grant, or significant co-I or co-PI on multiple R01 grants or equivalent grants.
  - b) Salary Recovery Expectations
    - i) The candidate will have salary recovery of  $\geq 50\%$  of the NIH salary cap at the time of promotion.
5. International recognition as an expert in a particular area of research or scholarship, or national leadership in the field. Evidence to support this could include:
  - a. Service on multiple NIH or other study sections
  - b. Regular member of NIH study section
  - c. Chair of NIH or other study section
  - d. Editorship or Associate Editorship of peer-reviewed journal(s), including section editor of a special issue of a peer-reviewed journal
  - e. Organizer of national scientific symposia in area of focus
  - f. Lead authorship of books

- g. Lead authorship of chapters in books
- h. Officer in national organization related to your field of expertise

(To reach the professor level, the faculty member is expected to achieve accomplishments #1 through #5.)

Service: Promotion to the rank of Professor requires service with distinction to the College of Medicine, The Ohio State University, or in a national context. The faculty member should make new, unique and impactful service contributions as an Associate Professor. Criteria might include recognition in the provision of exemplary patient care; development of new and innovative programs, participation in leadership positions of a learned society, participation in and appointment to management positions in College of Medicine, University or national committees, task forces and advisory groups and other leadership roles leading to the betterment of the organization being served.

Service (M.D., D.O. or equivalent, with clinical responsibility)

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

1. Maintenance of Specialty Board Certification, if applicable.
2. Committee Chair at the Department, College of Medicine or University level.
3. Recognized as a leader in an area of clinical expertise, which may be demonstrated by service as Director of a service, center institute, division or a section, or by recognition by peers in Best Doctors, for example.
4. Leadership role in committee activities for national and international organizations.
5. Elected office in national or international professional organization(s) or regular NIH study section membership or federal panel or committee.
6. Prominent role in community service activities.
7. Leadership role in the Department.
8. Adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.
9. Maintenance of appropriate licensure and medical staff appointment(s).
10. Leadership role in the development of new programs for clinical care.

(To reach the professor level, the faculty member is expected to achieve 5 of these accomplishments including, #1 and #2.)

Service (Ph.D. or MD/DO with no clinical responsibility)

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

1. Direction/operation of a laboratory or leader of a division, department, center, institute hospital, college, university or professional organization.
2. Chair of divisional, departmental, college or university committee functions.
3. Leadership role in committee functions for national or international organizations.
4. Elected office in national or international professional organizations.
5. Prominent role in meritorious community service activities.
6. Leadership role in the department.
7. Adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

## 2. Clinical Faculty

Clinical faculty members have a greater responsibility for clinical teaching and patient care than individuals in the Tenure-track. Clinical faculty members are not eligible for tenure. The criteria in the categories of teaching and service are, for the most part, similar to those for the Tenure-track for each faculty rank, although there is greater emphasis on teaching, service and patient care, and less emphasis on traditional scholarship. There are three paths within the Clinical Track: Clinical Educator, Clinical Scholar, and Clinical Excellence; the specific criteria for promotion in each path are further detailed below. Of note, the Clinical Excellence pathway will be restricted to those who have contributed greatly to the department and its missions, but have not achieved the scholarly status of the other appointment types.

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

### a. Promotion to Associate Professor, Clinical Educator Pathway (Clinical Faculty)

The awarding of promotion to the rank of Associate Professor in the Clinician-Educator Pathway should be based upon clear and convincing evidence that the candidate is developing a national level of impact and recognition as a clinician educator since being appointed to the rank of Assistant Professor.

Teaching and Mentoring: A distinctive record of teaching and mentoring excellence is required for promotion. Excellence is demonstrated by positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching awards and other honors are evidence of teaching excellence. Candidates should demonstrate favorable impact on teaching and training programs, including curriculum innovation, new teaching modalities or methods of evaluating teaching, and program or course development. Development of impactful, innovative programs that integrate teaching, research and patient care are particularly valued. Active participation as a mentor is highly valued as a teaching and mentoring activity. Evidence of peer review of teaching must be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.

#### Teaching (M.D., D.O. or equivalent)

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

1. Consistent evaluations of teaching performance that are above the median, by students, residents, fellows and peers.
2. Divisional or departmental teaching awards as voted by medical students and/or residents and/or fellows.
3. Participation in the development of new educational programs for teaching students or residents at The Ohio State University.
4. Local leader of a nationally funded or multi-institutional educational project.
5. Participation in the publication of material of a scientific or instructional nature or evidence of production of other forms of teaching material (e.g. digital products, computer programs, etc.)
6. Participation in teaching for local, regional and national professional organizations with positive lecture evaluations
7. Participation in the development of educational materials for local, regional and national professional organizations.

(To reach the associate professor level the faculty member is expected to have at least three of these accomplishments, including #1 or #2 and #3 or #4 and #5 or #6. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

#### Teaching (Ph.D.)

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

1. Evidence of regular participation in the educational processes within the division, department or college:
  - a) Course work: organization and oversight of approved academic courses lectures provided for approved academic courses
  - b) Documented training of individuals or groups in research skills or techniques, such as technicians and laboratory assistants, graduate students, postdoctoral fellows, medical research fellows, or professional colleagues
2. Evidence of teaching excellence
  - a) Consistently high level evaluations of teaching performance by students and peers
  - b) Divisional, departmental or collegiate teaching awards
3. Local leader of a nationally funded or multi-institutional educational project
4. Development of new educational programs including but not limited to simulation for teaching and methods of evaluation within the institution.
5. Publication of instructional materials (e.g. digital products, computer programs, etc.).
6. Participation of teaching for local, regional or national organizations.
7. Development of educational materials for local, regional or national organizations.

(To reach the associate professor level the faculty member is expected to achieve accomplishment in 4 areas including achievement of #1 and #2 and either #3 or #4. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

Scholarship: The candidate should demonstrate contributions to scholarship, a significant portion of which should include primary or senior authorship of peer-reviewed journal publications and scholarly review articles (at least 15). Some of the publications should include research upon educational theory and/or innovative teaching techniques. In addition, some of the publications may include case reports, letters to the editor and brief communications. Development of web-based or other electronic teaching modules help to support the demonstration of national impact, but do not count toward the required publication number. Again, participation in collaborative, multidisciplinary research and team science is highly valued even though it may result in “middle” authorship, as long as the faculty member’s unique contribution can be discerned.

#### Scholarship (M.D., D.O or equivalent)

1. Publications in peer-reviewed journals. As a general guideline, at least 15 peer reviewed publications of which the top 10 have a mean impact factor of 1.0, ideally in anesthesiology specialty journals including scholarly review articles, case reports, letters to the editor or brief communications since being appointed as assistant professor at OSU, although a majority of the publications should be as first or senior author. Work at previous institutions will be considered in the overall evaluation, but does not substitute for work done at OSU.
2. Presentations of scholarly work at local, regional, national and international meetings.
3. Development, publication and/or presentation of scholarly work in other forms of teaching material/media
4. Local lead investigator of an educational grant or a multi-institutional educational program.

(To reach the associate professor level, the faculty member is expected to achieve three of these accomplishments including #1.)

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

Service (M.D., D.O. or equivalent)

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

1. Completion of specialty Board certification.
2. Maintenance of specialty Board certification, if applicable.
3. Evidence of a high-level of clinical competence.
4. Active participation in divisional, Departmental, College, Health Sciences, Health System or Medical Staff and/or University committee functions.
5. Participation in committee activities for local, regional and national organizations.
6. Elected office in local, regional or national professional organizations.
7. Other meritorious community service activities
8. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.
9. Maintenance of appropriate licensure and medical staff appointment(s).

(To reach the associate professor level, the faculty member is expected to achieve accomplishments #1, #2 #3, #4, #5, #8, and #9.)

Service (Ph.D.)

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

1. Direction or Co-Director of an educational program for division, department, hospital, college, university or professional organization.
2. Active participation in divisional, departmental, college, Health Sciences, Health System or University committee functions.
3. Active participation in committee functions for local, regional or national organizations.
4. Elected office in local, regional or national professional organizations.
5. Other meritorious community service activities.
6. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

(To reach the associate professor level the faculty member is expected to achieve accomplishments #1, #2, #3 and #6.)

For the Department of Anesthesiology, the following will constitute specific accomplishments characteristic of individuals worthy of promotion to associate professor on the Clinician Educator Pathway in the areas of teaching, research and service:

## **b. Promotion to Professor, Clinical Educator Pathway (Clinical Faculty)**

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

Teaching and Mentoring: A distinctive record of sustained superlative teaching and mentoring excellence is required for promotion. Excellence is demonstrated by sustained positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching awards and other honors are indicative of this level of teaching excellence. Candidates must demonstrate favorable impact on teaching and training programs, including curriculum innovation, new teaching modalities or methods of evaluating teaching, and program or course development. Development of multiple impactful, innovative programs that integrate teaching, research and patient care are valued. Teaching excellence may also be demonstrated through participation in specialty boards such as being an editor or oral board examiner for the American Board of Anesthesiologists or through participation on Accreditation Council for Graduate Medical Education (ACGME) Resident Review Committees. Evidence of peer review of teaching must be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.

Mentorship of junior faculty in training grants such as NIH T32 or K-awards if possible and other such mentored programs may also demonstrate teaching excellence. It is presumed that this will take the form of a primary mentoring relationship, and not just ad hoc career coaching.

### Teaching (M.D., D.O. or equivalent)

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

1. Consistently high level evaluations of teaching performance by students, residents, peers.
2. Divisional or departmental teaching awards as voted by medical students and/or residents.
3. Participation in the development of new educational programs for teaching students or residents at The Ohio State University.
4. National leader/significant investigator of a nationally funded or multi-institutional educational project.
5. Participation in the publication of material of a scientific or instructional nature or evidence of production of other forms of teaching material/media.
6. Participation in teaching for national or international professional organizations and excellent lecture evaluations from these audiences.
7. Leadership or significant involvement in the development of educational materials for national or international professional organizations. This implies activity beyond merely providing educational content, and would include activities such as significant participation in the creation of curricular structure, or serving as program chair for a national or international meeting.

(To reach the professor level the faculty member is expected to have at least five of these accomplishments, including #3, #5 and #6, and either #1 or #2, and either #4 or #7. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

### Teaching (Ph.D.)

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

1. Evidence of regular participation in the educational processes within the division, department or

college.

- a) Course work: organization and oversight of approved academic courses lectures provided for approved academic courses
  - b) Documented training of individuals or groups in research skills or techniques, such as technicians and laboratory assistants, graduate students, postdoctoral fellows, medical research fellows and professional colleagues
2. Evidence of teaching excellence.
    - a) Consistently high level evaluations of teaching performance by students and peers.
    - b) Divisional, departmental or collegiate teaching awards
  3. Local leader of a nationally funded or multi-institutional educational project unless  $\geq 45$  publications and clear evidence of a national reputation.
  4. Development of new educational programs including but not limited to simulation for teaching and methods of evaluation within the institution.
  5. Publication of instructional materials (e.g. digital products, computer programs, etc.).
  6. Participation of teaching for local, regional or national organizations.
  7. Development of educational materials for local, regional or national organizations.

(To reach the professor level the faculty member is expected to have at least five of these accomplishments including achievement of #1, #2 and #3. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

Scholarship: The candidate must demonstrate sustained contributions to scholarship as reflected by authorship of peer-reviewed journal publications (25), a majority of which are as primary or senior author and scholarly review articles. Publications may include case reports, letters to the editor, or brief communications, although a majority of the publications should be peer-reviewed original manuscripts. Again, participation in collaborative, multidisciplinary research and team science is highly valued even though it may result in “middle” authorship, as long as the faculty member’s unique contribution can be discerned.

For the Department of Anesthesiology, the following will constitute specific accomplishments characteristic of individuals worthy of promotion to professor on the Clinician Educator Pathway in the areas of teaching, research and service:

Scholarship (M.D., D.O. or equivalent)

1. Publications in peer-reviewed journals. As a general guideline, a minimum of 10 peer reviewed publications since being appointed as associate professor at OSU Anesthesiology, with a mean impact factor of 1.0, including scholarly review articles, case reports, brief communications, and letters to the editor, although a majority of the publications should be original manuscripts as first or senior author, for a total of at least 25 such publications. Digital, Web-based or other electronic teaching modules do not contribute to the required number of publications, but do provide further evidence of national leadership as an educator. Again, participation in collaborative, multidisciplinary research and team science is highly valued even though it may result in “middle” authorship, as long as the faculty member’s unique contribution can be discerned. Work at previous institutions may be considered.
2. Publication of books, invited chapters or monographs.
3. Presentations of scholarly work at local, regional, national and international meetings.
4. Development, publication and/or presentation of scholarly work in other forms of teaching materials/media formats (e.g., digital products, computer programs, etc.)
5. Local leader of a nationally funded or multi-institutional educational project and/or clear evidence of a national reputation.

(To reach the professor level, the faculty member is expected to achieve four of these accomplishments including #1 and #5.)

Service: Service is broadly defined to include administrative service to the University, exemplary patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Evidence of service can include appointment or election to College, hospital, and/or University committees and affirmative action or mentoring activities. Evidence of professional service to the faculty member's discipline may include journal editorships, and offices held and other service to national professional societies.

Service (M.D., D.O. or equivalent)

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

1. Completion of specialty Board certification.
2. Maintenance of specialty Board certification, if applicable.
3. Evidence of a high-level of clinical competence.
4. Leadership in divisional, departmental, college, and/or university committee functions.
5. Leadership of committee activities for national or international organizations.
6. Elected office in national or international professional organizations.
7. Director of a department or divisional educational program.
8. Other meritorious community service activities.
9. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.
10. Maintenance of appropriate licensure and medical staff appointment(s).

(To reach the professor level, the faculty member is expected to achieve accomplishments #1, #2, #3, #4, and #5 or #6 or #7, and #9 and #10.)

Service (Ph.D.)

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

1. Director of an educational program for division, department, hospital, college, university or professional organization.
2. Active participation and leadership in divisional, departmental, college or university committee functions.
3. Leadership in committee functions for national or international organizations.
4. Elected office national or international professional organizations.
5. Other meritorious national leadership roles or impact (i.e, serving as an author on the development of national practice guidelines; service as ABA examiner or question editor).
6. Adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

(To reach the professor level the faculty member is expected to achieve accomplishments #1, #2, #6, and one of #3, #4, or #5)

**c. Promotion to Associate Professor, Clinical Scholar Pathway (Clinical Faculty)**

The awarding of promotion to the rank of Associate Professor in the Clinician-Scholar pathway must be

based upon clear and convincing evidence that the candidate is developing a national level of recognition as a clinician scientist since being appointed to the rank of Assistant Professor.

Teaching and Mentoring: A distinctive record of teaching and mentoring excellence is required for promotion. Excellence is demonstrated by positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching awards and other honors are also supportive of teaching excellence. Teaching excellence must be demonstrated through evaluations and peer feedback based on presentations at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, and the like. Active participation as a mentor to trainees in research and scholarship activities leading to peer-reviewed abstracts, presentations at national meetings and/or peer-reviewed publications is expected. Evidence of peer review of teaching must be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.

Quality indicators of mentorship could include:

- peer-reviewed abstracts/posters presented at national meetings
- impact factor of peer-reviewed publications
- citations as first or senior author
- trainee abstract awards at national meetings
- selection of abstracts for distinction at national meetings
- co-author by trainees of publications in peer-reviewed journals

Teaching (M.D., D.O. or equivalent)

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

1. Consistently high level evaluations of teaching performance by students, residents, peers.
2. Divisional or departmental teaching awards as voted by medical students and/or residents.
3. Participation in the development of new educational programs for teaching students or residents
4. Participation in teaching for local, regional and national clinical organizations and high level evaluations from national audiences.
5. Participation in the development of clinical materials for local, regional and national professional organizations.

(To reach the associate professor level the faculty member is expected to have at least three of these accomplishments, including #1 or #2, and #3 or #4. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

Teaching (Ph.D.)

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

1. Evidence of regular participation in the educational processes within the division, department or college
  - a) Course work: organization and oversight of approved academic courses lectures provided for approved academic courses
  - b) Documented training of individuals or groups in research skills or techniques, such as technicians, laboratory assistants, graduate students postdoctoral fellows, medical research fellows or professional colleagues
2. Evidence of teaching excellence
  - a) Consistently high level evaluations of teaching performance by students and peers.

- b) Divisional, departmental or collegiate teaching awards
3. Participation of teaching for local, regional or national organizations.
  4. Development of educational materials for local, regional or national organizations.

(To reach the associate professor level the faculty member is expected to achieve accomplishment in two areas including achievement of #1. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

Scholarship: The candidate must demonstrate contributions to scholarship as reflected by primary or senior authorship of peer-reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational or clinical research projects or in clinical trials. Again, participation in collaborative, multidisciplinary research and team science is highly valued even though it may result in “middle” authorship, as long as the faculty member’s unique contribution can be discerned. Candidates should have a track record of being co-investigators in foundation, industry or NIH studies. Entrepreneurship and inventorship are also evidence of scholarly activity, as described in Section VII [Criteria for promotion to Associate Professor with tenure] above, and will be viewed most favorably.

For the Department of Anesthesiology, the following will constitute specific accomplishments characteristic of individuals worthy of promotion to associate professor on the Clinician Scholar Pathway in the areas of teaching, research and service:

Scholarship (M.D., D.O or equivalent)

1. Publications in peer-reviewed journals. As a general guideline, at least 15 peer reviewed publications in their clinical research focus area, each with a minimum impact factor of 1.0, with an average impact factor of 2.0, ideally from the Anesthesiology Specialty Journal Rank List (although it depends on their specific research focus area), including invited or other scholarly review articles in their focus area, since being appointed as assistant professor at OSU (work at previous institutions will be considered in the overall evaluation, but does not substitute for what was done at OSU). Ten of those publications should be as first or senior/ corresponding author of original articles in their clinical focus area as a faculty member at OSU; the remainder can include case reports, review articles or brief communications.
2. Participation as a principal investigator on at least one industry-funded clinical trial or investigator of a nationally funded grant unless  $\geq 20$  publications and evidence of a national reputation.
3. Presentations of scholarly work at local, regional, national and international meetings.
4. Development, publication and/or presentation of scholarly work in other forms of teaching material/media.

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

Service: Promotion to the rank of Associate Professor requires service to the institution, the community or the profession. The faculty member should have made new and impactful service contributions as an Assistant Professor.

Service (M.D., D.O. or equivalent)

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

1. Completion of specialty Board certification.
2. Maintenance of specialty Board certification, if applicable.
3. Evidence of a high-level of clinical competence as recognized by clinical outcomes and patient

evaluations.

4. Active participation in divisional, Departmental, College, Health Sciences, Health System and/or University committee functions.
5. Participation in the development of new programs or evidence-based practice guidelines for the advancement of medical practice or patient care.
6. Committee participation in local, regional and national organizations.
7. Elected office in local regional, national or international professional organizations.
8. Other meritorious community service activities.
9. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.
10. Maintenance of appropriate licensure and medical staff appointment(s).

(To reach the associate professor level, the faculty member is expected to achieve accomplishments #1, #2 #3, #4 or #5, and #6, #9, #10 at a minimum.)

#### Service (Ph.D.)

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

1. Direction or Co-Direction of a clinical service for division, department, hospital, college, university or professional organization.
2. Outstanding clinical service.
3. Active participation in divisional, departmental, college or university committee functions.
4. Participation in committees in local, regional and national organizations.
5. Elected to an office in national or international professional organizations.
6. Other meritorious community service activities.
7. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

(To reach the associate professor level the faculty member is expected to achieve accomplishment #2, #3, #4 and #7, at a minimum.)

#### **d. Promotion to Professor, Clinician Scholar Pathway (Clinical Faculty)**

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

Teaching and Mentoring: A record of teaching excellence as an Associate Professor must continue, in order to justify promotion to the rank of Professor. The faculty member should have made unique and impactful contributions to the teaching mission as an Associate Professor. Serving as a mentor to junior faculty on a clinical trial, a foundation grant, or an investigator-initiated clinical study are examples of teaching and mentoring activity. Evidence of peer review of teaching must be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.

A significant level of mentorship of junior faculty is required. It is presumed that this will take the form of a primary mentoring relationship, and not just ad hoc career coaching. Candidates should evidence mentoring relationships by providing mentees' evaluations.

#### Teaching (M.D., D.O. or equivalent)

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

by:

1. Consistently high level evaluations of teaching performance by students, residents, peers.
2. Divisional or departmental teaching awards as voted by medical students and/or residents.
3. Participation in the development of new educational programs for teaching students or residents.
4. Participation in faculty mentoring or T-32 grants.
5. Participation in teaching for national or international professional organizations and excellent lecture evaluations from national audiences.
6. Participation in the development of educational and clinical materials for national and international professional organizations.

(To reach the professor level the faculty member is expected to have at least three of these accomplishments, including #1 or #2, and # 3 or #4, and #5 or #6. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

#### Teaching (Ph.D.)

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

1. Evidence of regular participation in the educational processes within the division, department or college including mentoring of students and faculty or T-32 grants.
  - a) Course work: organization and oversight of approved academic courses lectures provided for approved academic courses
  - b) Documented training of individuals or groups in research skills or techniques, such as technicians and laboratory assistants, graduate students, postdoctoral fellows, medical research fellows, or professional colleagues
2. Evidence of teaching excellence.
  - a) Consistently high level evaluations of teaching performance by students and peers.
  - b) Divisional, departmental or collegiate teaching awards
3. Participation of teaching for national or international organizations.
4. Evidence of involvement with faculty or trainee mentoring ideally through involvement with T-32 grants or similar funded mechanisms.

(To reach the professor level the faculty member is expected to achieve accomplishment in 3 areas including #1 and #2. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

Scholarship: The candidate must demonstrate contributions to scholarship as reflected by primary or senior authorship of peer-reviewed journal publications, invited or scholarly review articles and case reports, and participation in basic, translational or clinical research projects or in clinical trials, for example, 40 peer-review publications in journals in their clinical research focus area, each with a minimum impact factor of 1.0, with an average impact factor of 2.0, ideally from the Anesthesiology Specialty Journal Rank List, including scholarly review articles, although it depends on their specific focus area. A combination of peer-reviewed articles as first or senior/corresponding author in their clinical focus area, with a majority of articles as senior and / or corresponding author. At least two of the publications should be in high impact journals in their discipline. Faculty members on this track should ideally have been co- investigators on multiple projects or trials. Entrepreneurship and inventorship are also evidence of scholarly activity, as described in Section VII.A., and will be viewed most favorably.

For the Department of Anesthesiology, the following will constitute specific accomplishments

characteristic of individuals worthy of promotion to professor on the Clinician Scholar Pathway.

Scholarship (M.D., D.O or equivalent)

1. Publications in peer-reviewed journals. As a general guideline the candidate should have a minimum of 40-peer reviewed publications, including invited or scholarly review articles; of these 20 publications, since promotion or appointment to Associate Professor at OSU. The mean impact factor of the publications should be at least 2.0. Two or more of the publications should be in high impact journals in their discipline, i.e. Anesthesiology, Pain, Br. J Anesthesiology, etc.
2. Participation as a principal investigator or co-investigator in funded basic or clinical research, that could include multiple investigator-initiated clinical trials or studies or other nationally funded grants, at least one of which is as a principal investigator; or national reputation for innovation unless  $\geq 50$  publications and evidence of an established national or international reputation.
3. Presentations of scholarly work at national or international meetings.
4. Invited lectureships and visiting professorships – At a minimum, five or more such invitations since appointment to Associate Professor.
5. Development, publication and/or presentation of scholarly work in other formats.

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

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

Service (M.D., D.O. or equivalent)

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

1. Completion of specialty Board certification.
2. Maintenance of specialty Board certification, if applicable.
3. Evidence of a high-level of clinical competence as evidenced by outstanding clinical outcomes, patient evaluations and national peer recognition in Castle-Connolly or Best Doctors etc.
4. Director of a clinical service.
5. Chairperson of divisional, Departmental, College, Health Sciences, Health System and/or University committee functions.
6. Committee Chair, Vice-Chair, Treasurer, Speaker, President, or Vice-President of Society/Institute, for national or international organizations.
7. Elected office in the Ohio Society of Anesthesiologists (OSA), national or international professional organizations; or member of an editorial board of a peer-reviewed journal listed in “science citation index” with an impact factor  $\geq 1.0$ ; or associate editor of journals; or ad hoc reviewer of grants in the institution or for national foundations, or other extramural funding mechanisms (i.e. CTSA grants, FAER, ASA, IARS, etc.) – any one of these appointments is sufficient to meet this metric.
8. Other meritorious community service activities.
9. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.
10. Maintenance of appropriate licensure and medical staff appointment(s).

(To reach the professor level, the faculty member is expected to achieve accomplishments #1, #2, #3, #4 or #5, and #6 or #7, and #9 and #10, at a minimum)

### Service (Ph.D.)

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

1. Direction/operation of a service laboratory for division, department, hospital, college, university or professional organization.
2. Chairperson of divisional, departmental, college or university committee functions.
3. Chairperson of committees and/or functions for national or international organizations.
4. Elected office in national or international professional organizations.
5. Other meritorious community service activities.
6. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

(To reach the professor level, the faculty member is expected to achieve accomplishments in 3 areas including #1 or #2, #3 or #4 and #6, at a minimum.)

### **e. Promotion to Associate Professor, Clinical Excellence Pathway (Clinical Faculty)**

In the circumstance where individuals are assigned major responsibilities (90% time or greater) for clinical care and departmental administrative activities, faculty members may seek promotion for excellence in activities categorized as “scholarship of practice” (or “scholarship of application”). Personal National recognition is not required for Promotion to Associate Professor on the Clinical Excellence Pathway. The clinical time commitment of these individuals might not allow the establishment of personal national recognition for their accomplishments; however, their unique contributions in their hospital, medical center or institution serve to enhance the national recognition of the Medical Center or their assigned hospital. For these individuals, their contribution to the regional and national recognition of the Medical Center may serve as a proxy for individual national recognition.

The metrics for such a promotion will vary according to position, subspecialty, and workload. Therefore, it is understood that there is an inherent flexibility in our review criteria and such promotions are determined on a case-by-case basis”.

One of the most important measures of excellence in the scholarship of practice would be evidence that activities or innovations of an individual faculty member have contributed to a change in the scope and the nature of practice in his or her own discipline. Another piece of evidence could be the development of new and innovative approaches to the clinical management of challenging clinical problems.

For the Department of Anesthesiology, the following will constitute specific accomplishments characteristic of individuals worthy of promotion to associate professor on the Clinical Excellence Pathway in the areas of teaching, research and service:

### Teaching (M.D., D.O. or equivalent)

Evidence of persistent commitment to and engagement in teaching

1. Evidence of involvement in teaching of students and residents.
  - a. Evaluation of teaching by students/trainees or peers is required to qualify.
  - b. Consistent timely completion of all resident and fellow evaluations within each six month evaluation cycle.
2. Evidence of development of educational materials for patients.
  - a. Formatted and published internally for distribution to patients by other clinicians.

- b. Must be approved for use by the department quality improvement committee.

(To reach the associate professor level the faculty member is expected to have at least one of these accomplishments. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

#### Teaching (Ph.D.)

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

1. Evidence of involvement in teaching of students and residents.
2. Evidence of development of educational materials for patients.

(To reach the associate professor level the faculty member is expected to achieve either #1 or #2. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

#### Scholarship (M.D., D.O or equivalent)

1. Evidence of participation in clinical research including but not limited to enrollment of patients in clinical trials available in the medical center or national studies, publication of practice guidelines or publication of clinical innovation.
2. Evidence of establishing a database on patients for the purpose of monitoring quality.

(To reach the associate professor level, the faculty member is expected to achieve # 1 or # 2 of these accomplishments)

#### Service (M.D., D.O. or equivalent)

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

1. Completion of specialty Board certification.
2. Maintenance of specialty Board certification, if applicable.
3. Maintenance of appropriate licensure and medical staff appointment(s).
4. Evidence of a high-level of clinical, competence and a 95% compliance with specialty specific process measures such as appropriate departmental and medical center quality metrics.
5. Clinical productivity as measured by percentage of total FTE appointed to clinical effort. It is expected that at least 90% of the total effort is dedicated to clinical and administrative duties.
6. Active, substantial participation in divisional or Departmental activities including faculty meetings, morbidity and mortality conferences and grand rounds.
7. Evidence of clinical excellence.
  - a) Patients from outside our primary service area regularly are referred specifically to, or seek care from the faculty member (typically only seen for chronic pain management faculty members).
  - b) Patients from outside our primary service area are referred specifically to a program that was developed or is led by the faculty member (typically only seen for chronic pain management faculty members).
  - c) Evidence that a faculty member is regularly consulted by physicians from outside our primary service area
  - d) Evidence that physicians from other medical centers come to OSU for training specifically by the faculty member, or request proctoring at their home institution by the faculty member
  - e) Evidence that a faculty member has developed a new program or has led improvements in an

- existing program and that subsequent to those innovations the success of the program has materially improved, or the program has been duplicated or adopted by other institutions or practices. Includes activities that resulted in measurable improvements in efficiency, quality indicators of service, cost-savings in health-care, clinical outcomes, increased patient enrollments, etc.
- f) Evidence that a faculty member has developed clinical innovations that have been adopted by other physicians within or outside the University
  - g) Evidence that the faculty member regularly participates as an instructor or lecturer in regional or national courses or seminars
  - h) Selection for Best Doctors lists, for those lists that include anesthesiologists (e.g. Castle and Connelly, Best Doctors, etc.)
  - i) A sustained track record of exemplary clinical leadership and unique program development within the institution
  - j) Establishment of quality improvements or systems-based changes that result in enhancement of the care provided to OSU Medical Center patients
  - k) Demonstration of recognized expertise in the form of Visiting Professor Lectures, Grand Rounds, lectures or workshop faculty at regional or national meetings
  - l) Demonstration of collaboration with researchers and educators in the department and beyond
  - m) Annual letters of evaluation of faculty performance, and specifically quality/indicators of clinical performance (RVU's, professionalism, evaluations by peers or other health-care professionals in the work environment, etc.), the majority of which meet or exceed the expectations of the Chair
  - n) Publication of 5 case reports, letters to the editor, brief communications, manuscripts, review articles, etc. in first, second or senior author position since appointment as Assistant Professor – all of which are related to the faculty member's area of clinical focus

(To reach the associate professor level, the faculty member is expected to achieve accomplishments in #1, #2, #3, #4, #5, #6, , and 6 of 14 sub-points in #7.)

#### **f. Promotion to Professor, Clinical Excellence Pathway (Clinical Faculty)**

The awarding of promotion to the rank of Professor in the Clinical Excellence Pathway must be based upon clear and convincing evidence that the candidate's work has developed a national impact and consistent recognition for clinical excellence and innovation since being appointed to the rank of Associate Professor. For promotion to Professor the candidate should clearly lead efforts that contribute to advancing the national reputation of the department, the College or the University. Metrics may include recognition in the Castle and Connelly or similar entities (Best Doctors, Inc.), in which anesthesiologists are recognized, or clear evidence such as national awards for clinical excellence and innovation are clear indicators of achievement. Multiple lines of evidence supporting excellence in clinical performance, include clinical measures such as quality indicators, mortality metrics, complication rates, and patient satisfaction rates where such measures can readily be internally and externally benchmarked for comparison.

For the Department of Anesthesiology, the following will constitute specific accomplishments characteristic of individuals worthy of promotion to professor on the Clinical Excellence Pathway in the areas of teaching, research and service:

##### Teaching (M.D., D.O. or equivalent)

Evidence of persistent commitment and engagement in to teaching:

1. Evidence of involvement in teaching of students and residents.
  - a. Evaluation of teaching by students/trainees or peers is required to qualify.
  - b. Consistent timely completion of all resident and fellow evaluations within each six month evaluation cycle.
2. Evidence of development of educational materials for patients or trainees.
  - a. Formatted and published internally for distribution to patients by other clinicians.
  - b. Must be approved for use by the department quality improvement committee.

(To reach the professor level the faculty member is expected to have at least one of these accomplishments. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

#### Teaching (Ph.D.)

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

1. Evidence of involvement in teaching of students and residents with consistently high levels of evaluations.
2. Evidence of development of educational materials for patients.

(To reach the professor level, the faculty member is expected to achieve accomplishment in one of these areas. Evidence of peer review of teaching must also be demonstrated as outlined in Section X.B. Peer Evaluation of Teaching.)

#### Scholarship (M.D., D.O or equivalent)

1. Evidence of participation in clinical research including but not limited to enrollment of patients in clinical trials available in the medical center or nationally, publication of national practice guidelines, or publication of clinical innovation.
2. Evidence of establishing a database on patients for the purpose of monitoring quality and outcomes in the physician's area of practice.

(To reach the professor level, the faculty member is expected to achieve one of these accomplishments.)

#### Service (M.D., D.O. or equivalent)

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

1. Completion of specialty Board certification.
2. Maintenance of specialty Board certification, if applicable.
3. Maintenance of appropriate licensure and medical staff appointment(s).
4. Evidence of a high-level of clinical competence and 95% compliance with specialty specific process measures such as appropriate departmental and medical center quality metrics, since promotion to associate professor.
5. Evidence of a high level of patient service as demonstrated by consistently high patient satisfaction scores since promotion to associate professor, to the extent to which such demonstration can be documented for an anesthesiologist.
6. Clinical productivity as measured by percentage of total FTE appointed to clinical effort. It is expected that at least 90% of the total effort is dedicated to clinical and administrative duties.
7. Active participation in divisional or Departmental activities including faculty meetings, morbidity and

mortality conferences and grand rounds.

8. Evidence of national reputation of clinical excellence:

- a) Evidence that a faculty member has developed a new program or led improvements in an existing program and that subsequent to those innovations the success of the program has materially improved, or the program has been duplicated or adopted by other institutions or practices.
- b) Patients from outside our primary service area are referred specifically to a program that was developed or is led by the faculty member.
- c) Evidence that a faculty member has developed clinical innovations that have been adopted by other physicians within or outside the University.
- d) Evidence that the faculty member regularly participates as an instructor in regional or national courses or seminars.
- e) Selection for Best Doctors lists, for those lists that include anesthesiologists, (e.g. Castle and Connelly, Best Doctors, etc)
- f) A sustained track record of exemplary clinical leadership and unique program development within the institution.
- g) Establishment of quality improvements or systems-based changes that result in enhancement of the care provided to OSU Medical Center patients.
- h) Demonstration of recognized expertise in the form of Visiting Professor Lectures, Grand Rounds, lectures or workshop faculty at regional or national meetings.
- i) Demonstration of collaboration with researchers and educators in the department and beyond.
- j) Annual letters of evaluation of faculty performance, and specifically quality/indicators of clinical performance (RVU's, professionalism, evaluations by peers or other health-care professionals in the work environment, etc.), the majority of which meet or exceed the expectations of the Chair.
- k) Publication of 10 case reports, letters to the editor, brief communications, manuscripts, review articles, etc. in first, second or senior author position since promotion to Associate Professor – all of which are related to the faculty member's area of clinical focus.
- l) Appointment to national committees, councils, work groups, etc. in the faculty member's area of clinical excellence.

(To reach the professor level, the faculty member is expected to achieve accomplishments in #1, #2, #3, #4, #5 if applicable, #6, #7 and 9 of 12 sub-points in #8 including (e) selection of Best Doctors lists or equivalent national recognition) and (j) annual performance evaluations.)

### 3. Research Faculty

In Research appointments, the criteria for promotion focus principally on the category of research, and the standards are comparable to those used for the Tenure-track for each faculty rank.

#### a. Promotion to Associate Professor (Research Faculty)

Scholarship: Scholarship is broadly defined as the discovery and dissemination of new knowledge. Achievement of excellence in scholarship is demonstrated by discovery of a substantial body of original knowledge that is published in high quality, peer-reviewed journals or proceedings, and achievement of a national reputation for expertise and impact in one's field of endeavor. Such endeavors might include laboratory investigation, development of innovative programs, theoretical insight, innovative interpretation of an existing body of knowledge, clinical science, public health and community research, implementation science, and diffusion research, etc. Participation in collaborative, multidisciplinary research and team science is highly valued, especially to the extent that a faculty member's record of collaborative scholarship includes manuscripts on which authorship is first, senior, or corresponding, or the individual input of the faculty member as a middle author is uniquely contributory and clearly evident.

The development of a competitive, innovative and distinctive program of scholarship is also evidenced by acquisition of peer-reviewed, nationally competitive extramural support as a PI or multiple-PD/PI or as co-investigator on several awards. Similarly, status as core director in a program grant is an acceptable criterion for extramural funding.

Although funding by the NIH is highly desirable, it is not required for promotion for research faculty. Other nationally competitive, peer reviewed funding, including support from national charitable foundations (*e.g.*, American Heart Association or American Cancer Society), industry, or federal entities such as the CDC and the NSF will satisfy the criterion for nationally competitive peer reviewed funding should evidence exist for a sustained record of funding from these types of agencies. Faculty members are encouraged to collaborate with other investigators and may therefore meet the requirement for extramural support for their research as a co-investigator on NIH awards, or other comparable roles on awards from private foundations. Funding through pharmaceutical or instrumentation companies for investigator-initiated proposals, or as local principal investigator for multi-center trials also meets the requirement of extramural funding. Similarly, faculty members who generate support for their research programs through their contribution to the creation of patents with associated license-derived income or spin-off companies also meet the criteria for extramural funding. It is expected that the successful candidate will have a sustained record of at least 50% salary recovery from extramural sources.

Specific metrics in support of excellence in scholarship may be discipline-specific. Therefore, each Department will define in their formal Appointments, Promotion and Tenure document, an acceptable range of scholarly productivity, and must explicitly balance qualitative and quantitative accomplishments to guide promotion and tenure decisions. Examples of discipline specific considerations include publications in highly specialized journals that may have high impact in the field, but a relatively low overall impact factor and citation index. In addition, levels of productivity in disciplines may vary substantially and this variation must be appropriately acknowledged.

Overall, the number of publications required for promotion should be sufficient to persuasively characterize the faculty member's influence in helping to discover new knowledge in their field. Thus, both quality and quantity are important considerations. Publication as at least a co-author in the field's highest impact factor journals is one variable that converges with other factors such as the extent of external funding, invited lectures, invited manuscripts, editorial boards, peer-review panels, and external letters of evaluation in the decision to promote. It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive promotion decision. Similarly, records of scholarship below the specified range do not preclude a positive promotion decision.

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

## **Promotion: Research Associate Professor**

The following will constitute accomplishments of individuals worthy of promotion to research associate professor.

### Teaching

No requirements.

### Research and Scholarship

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

1. Peer reviewed publications in quality journals, the majority of which are first-authored or senior authored. As a guideline the successful candidate should have 20-30 publications with at least 15 occurring since the OSU appointment with a mean impact factor of 2-6.
2. Presentation of scholarly work at local, regional, national or international forums.
3. Evidence of external funding as a principal investigator or major co-principal investigator, with resource allocation (i.e., budget, department credit for award, significant salary release time, etc.) on one R01 or equivalents with other grants or patent generating licensing income to the Department. Other equivalents could include principal investigator funding on R21 or R03 grants and investigator-initiated grants from Pharma or other organizations or foundations. Funding from national organizations other than NIH, NSF, or NCI will be considered for promotion, but they must be associated with significant indirect cost mechanisms. An ideal candidate will have evidence of at least 50% salary recovery but lower recovery will be considered in the context of their overall performance.
4. Development of an area of research or scholarship with growing national reputation of the candidate.
5. Participation on national research review panels such as NIH study sections or other panels (i.e., AHA, IARS, SCA, FAER, AHA-Ohio Chapter, etc.). Local study sections such as for CTSA Pilot Grant may contribute to this criterion.
6. Service on editorial board of journal(s).
7. Publications of book(s).
8. Publication of chapter(s) in books.

(To reach the associate professor level the candidate should have evidence of accomplishments in #1-5.

### Service

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

1. Direction/operation of a service laboratory for division, department, hospital, college, university or professional organization.
2. Active participation in divisional, departmental, college or university committee functions.
3. Active participation in committee functions for local, regional or national organizations.
4. Other meritorious community service activities.
5. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

(To reach the associate professor level the faculty member is expected to achieve accomplishments #2, #3 and #5, at a minimum.)

## **b. Promotion to Professor (Research Faculty)**

The awarding of promotion to the rank of Research Professor must be based upon clear and convincing evidence that the candidate has developed a national leadership role or an international level of impact and recognition.

Scholarship: A sustained record of external funding and an enhanced quality and quantity of scholarly productivity as an Associate Professor is required for promotion to the rank of Professor. Clear evidence of national leadership and/or an international reputation must be achieved. Examples of such a national reputation include service on NIH or equivalent grant review panels, participation on steering, guideline or advisory committees, selection for service in a national professional society, invitation for lectureships or scholarly reviews, receipt of national scientific awards, external letters of evaluation and other measures of national impact.

### **Promotion: Research Professor**

The following will constitute characteristics of individuals worthy of promotion to **research professor**.

#### Teaching

No requirements.

#### Scholarship

1. Peer reviewed publications in quality journals, the majority of which are first-authored or senior authored. As a guideline the successful candidate should have 40-50 papers, of which at least 20 occurred since appointment as associate professor, with a mean impact factor of 2 to 6.
2. Presentation of scholarly work at local, regional, national or international forums.
3. Evidence of external funding as a principal investigator on two R-01 equivalents or one R-01 equivalent together with other smaller grants, such as R21 or R03 grants or investigator-initiated grants from Pharma or other organizations or foundations. Funding from national organizations other than NIH, NSF, or NCI will be considered for promotion, but they must be associated with significant indirect cost mechanisms, and other grants or two or more patents yielding licensing income with full salary recovery. The candidate should have 65% salary recovery, but lower recovery will be considered in the context of their overall performance, research productivity, and their role in key departmental research programs.
4. Development of an area of research or scholarship that results in a national reputation of the candidate.
5. Evidence of leadership roles or active participation on national activities such as:
  - a. National panels, societies and foundations
  - b. Serving as a consultant/advisor to NIH, foundations, or other organizations
  - c. Participation on national research review panels such as NIH study sections or other panels (e.g., AHA, IARS, SCA, FAER, AHA-Ohio Chapter, etc.)
  - d. Local study sections such as for CTSA Pilot Grant
  - e. Service on the editorial board of journal(s)
6. Publications of book(s).
7. Publication of chapter(s) in books.

(To reach the professor level the candidate should have evidence of accomplishments in #1-5, at a minimum.)

#### Service

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

1. Direction/operation of a service laboratory for division, department, hospital, college, university or professional organization.
2. Divisional, departmental, college or university committee functions either as Chair or at other significant leadership level.
3. Leadership role in committee functions for local, regional or national organizations.
4. Elected office in national or international professional organizations.
5. Prominent role in meritorious community service activities.
6. Leadership role in the department.
7. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors.

(Note: Some overlap exists between criteria for service and scholarship.)

(To reach the professor level, the faculty member is expected to achieve at a minimum #2, #3, #6, and #7.)

#### **4. Associated Faculty**

##### **a. Promotion to Associate Professor (Associated Faculty)**

By definition, Associated Faculty members focus on a specific aspect of the Department and College mission. Accordingly, their promotion is based on performance in a particular role. In general, they must demonstrate excellence and innovation in their focus area. **The criteria for promotion are the same as those for clinical faculty in their focus area, as it pertains to: i) clinical educator pathway for teaching and mentoring (Section VII.A); ii) clinical scholar pathway for research and scholarship (Section VII.A); iii) clinical excellence pathway (Section VII.A) for a) patient care, and b) leadership and administration.**

##### **b. Promotion to Professor (Associated Faculty)**

Promotion to the rank of Professor is based not only on sustained contributions in the faculty member's area of focus but on a more advanced stage of leadership or greater sphere of impact than that of an Associate Professor. **The criteria for promotion to Professor are the same as those for clinical faculty in their focus area, as it pertains to: i) clinical educator pathway for teaching and mentoring (Section VII.A); ii) clinical scholar pathway for research and scholarship (Section VII.A); iii) clinical excellence pathway (Section VII.A) for a) patient care, and b) leadership and administration. Promotion to Professor is based on clear evidence of a national reputation in the area of focus.**

#### **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, [Policies and Procedures Handbook](#). The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the department.

##### **1. Candidate Responsibilities**

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.
- To submit a copy of the APT document under which the candidate wishes to be reviewed. Candidates may submit their TIU'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 TIU.
- To review the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified. (Also see External Evaluations below.)

## 2. Promotion and Tenure Committee Responsibilities

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

- To review this document and to recommend proposed revisions to the faculty.
- Approve a revised document.
- The Chair, Vice Chairs and APT committee make recommendations for potential External Evaluators.
- 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 minimum of a two-thirds vote 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 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.
- Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the department chair that a non-tenured faculty member seeking non-mandatory tenure review is a U.S. citizen or has permanent resident ("green card") status. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- A decision by the committee to permit a review to take place in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the

promotion and tenure review process as described below.

- **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
- **Late Spring:** Suggest names of external evaluators to the department chair.
- **Late Spring:** 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 meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- Provide a written evaluation and recommendation to the department chair in the case of joint appointees 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 time at which the committee begins meeting on this department's cases.

### 3. Eligible Faculty Responsibilities

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

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

### 4. Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- 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.

- **Mid-Autumn:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
  - of the recommendations by the eligible faculty and department chair
  - of the availability for review of the written evaluations by the eligible faculty and department chair
  - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrants response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure initiating unit by the date requested.

## 5. External Evaluations

External evaluations of candidates for promotion are obtained for all faculty on the Clinical Educator Pathway, Clinical Scholar Pathway, Promotion and Tenure or Promotion Reviews of Tenure-track faculty, as well all Research Appointment contract renewals and Promotion Reviews. External evaluations are not obtained for clinical excellence faculty under review for promotion to Associate Professor, unless the faculty member has been involved in a significant amount of scholarship in their clinical focus area of excellence. It is recommended that external evaluations (in addition to internal evaluations) be obtained for faculty seeking promotion to Professor on the Clinical Excellence pathway, since clear and convincing evidence is required that the candidate has achieved a national reputation in their 'scholarship of practice'. The decision to seek external evaluations for a clinical faculty member on the Clinical Excellence Pathway member will be made by the department chair after consulting with the candidate and the chair of the Promotion and Tenure Committee.

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 postdoctoral or residency 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, one or more of the evaluations may come from associate professors.

Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and/or the usefulness of the letters received, at least twice as many letters should be sought as are required.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. 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 for letters requesting external evaluations.

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, nor any 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.

### **C. Documentation**

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

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

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

Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

#### **1. Teaching**

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present. Examples of documentation include:

The GME Office approved evaluation system will be used for evaluation of faculty teaching by medical students.

Cumulative evaluations of clinical teaching (lectures, conferences, grand rounds, patient care encounters, etc.) utilizing appropriate on-line evaluation tools, where available

Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details, including number, provided in Section X below)

Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication, but not yet published, must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.

Teaching activities as listed in the core dossier including

- Involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
- mentoring postdoctoral scholars and researchers
- extension and continuing education instructions
- involvement in curriculum development
- awards and formal recognition of teaching
- presentations on pedagogy and teaching at national and international conferences
- adoption of teaching materials at other colleges or universities

Other relevant documentation of teaching as appropriate

## **2. Scholarship**

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of documentation include:

- If requested by the Department Committee, copies of all books, articles and scholarly papers published or accepted for publication. Papers accepted for publication, but are not yet published, must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- Documentation of grants and contracts received.
- Other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted).
- scholarship activities as listed in the core dossier including
  - documentation of inventions, patents, disclosures, options and commercial licenses
  - list of prizes and awards for research, scholarly, or creative work

## **3. Service**

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of documentation include:

- Service activities as listed in the core dossier including
  - involvement with professional journals and professional societies
  - consultation activity with industry, education, or government
  - clinical services
  - administrative service to department
  - administrative service to college

- administrative service to university and Student Life
- advising to student groups and organizations
- awards and prizes for service to profession, university, or department
- any available documentation (e.g. letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier

## **VIII. Appeals**

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

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

## **IX. Seventh-Year Reviews**

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

## **X. Procedures for Student and Peer Evaluation of Teaching**

### **A. Student Evaluation of Teaching**

The GME Office approved evaluation system will be used for evaluation of faculty teaching by medical students.

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

The department chair oversees the department's peer evaluation of teaching process. Opportunities for peer evaluations of teaching include presentations at Grand Rounds, both in the department and external to it, didactic lectures or presentations in the department, at local, state, national or international conferences, and similar offerings.

Annually, peer review of teaching is performed by the department chair and vice chairs for all tenure-track and clinical faculty with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned. The annual review will include trainee evaluations of all clinical teaching and didactic lectures conducted within the department. The average of these scores, associated comments and percentile comparison to all department faculty are then shared with the faculty member as part of the annual faculty review process.

At the discretion of the chair, it may be determined that faculty with unsatisfactory teaching evaluations meet with the Vice Chair of education to create a plan for feedback and improvement before resumption of teaching can occur.

Reviews conducted upon the request of the department chair or the faculty member focus on specific aspects of instruction requested by the chair or faculty member and may or may not include class visitations.

Prior to promotion to either associate professor or professor under any promotion track, all faculty members must have presented at Grand Rounds a minimum of two times and have received direct peer review feedback of their presentation.

In the case of peer review for the purposes of promotion and tenure reviews, peer review of grand rounds presentations are to be performed by one or more senior peers whom the vice chair for education has identified in consultation with the candidate. The peer reviewer should meet with the candidate to understand the goals of the presentation and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different presentations. If peer review of both grand rounds presentations is not possible, a small class didactic may be used for one of the peer review experiences. In addition, at the discretion of the chair, formal peer review of presentations given to outside departments or at conferences may also be used to demonstrate peer review of teaching.

In observing faculty presentations, the peer reviewer should focus on such issues as the appropriateness of the content given the goals and level of the presentation, the quality and effectiveness of the instructional materials and assessment tools, and the appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the presentations, the reviewer meets with the candidate to give feedback and also submits a written report to the department chair and vice chair for education, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.

The suggested process above could be supplemented by additional departmental guidelines for peer reviewers to use. Such guidelines should distinguish between reviews that are formative (provided as feedback to the faculty member instructing the course) and those that are evaluative (used in promotion reviews and performance reviews). The [University Institute for Teaching and Learning](#) offers assistance in such endeavors.

**Alphabetical List of Hyperlinks Appearing in Ohio State University  
Patterns of Administration  
and  
Appointments, Promotion, and Tenure Documents**

**Academic Rights and Responsibilities Reaffirmation:**<https://oaa.osu.edu/rightsandresponsibilities.html>  
**Affirmative Action, Equal Employment Opportunity and Non-Discrimination/Harassment:**  
<http://hr.osu.edu/policy/policy110.pdf>  
**American Association of University Professors' Statement on Professional Ethics**  
<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionaethics.htm>  
**Application for Leave form:** <https://eleave.osu.edu>  
**Committee on Academic Misconduct:** <https://oaa.osu.edu/coam.html> and  
[http://senate.osu.edu/?page\\_id=183](http://senate.osu.edu/?page_id=183)  
**Faculty Rule 3335-3 (administration):** <https://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html>  
**Faculty Rule 3335-5 (governance):** <https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>  
**Faculty Rule 3335-6 (tenure-track faculty appointments):** <https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>  
**Faculty Rule 3335-7 (clinical and research faculty appointments):**  
<https://trustees.osu.edu/rules/university-rules/chapter-3335-7-rules-of-the-university-faculty-concerning-clinical-faculty-appointment-reappointment-and-nonreappointment-and-promotion.html>  
**Graduate School Handbook:** <https://gradsch.osu.edu/handbook>  
**Guide to Effective Searches:** <https://hr.osu.edu/?s=guide+to+effective+searches> (requires log in)  
**Kirwan Institute for the Study of Race and Ethnicity:** <http://www.kirwaninstitute.org/>  
**Office of Academic Affairs Governance Documents Webpage:** <http://oaa.osu.edu/governance>  
**Office of Academic Affairs *Policies and Procedures Handbook*:** <http://oaa.osu.edu/handbook.html>  
**Office of Diversity and Inclusion:** <https://odi.osu.edu/>  
**Office of Human Resources Employee and Labor Relations:** <https://hr.osu.edu/services/elr/>  
**Office of Human Resources Employment Services:** [www.hr.osu.edu/](http://www.hr.osu.edu/)  
**Office of Human Resources Policies and Forms:** <https://hr.osu.edu/policies-forms>  
**Policy 1.15 (sexual misconduct):** <https://hr.osu.edu/public/documents/policy/policy115.pdf>  
**Policy 6.27 (paid leave):** <https://hr.osu.edu/public/documents/policy/policy627.pdf>  
**Policy 6.45 (unpaid leave):** <https://hr.osu.edu/public/documents/policy/policy645.pdf>  
**Policy on Equal Opportunity:** <https://hr.osu.edu/public/documents/policy/policy110.pdf>  
**Policy on Faculty Annual Review:** <http://oaa.osu.edu/assets/files/documents/annualreview.pdf>  
**Policy on Faculty Appointments:** <https://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>  
**Policy on Faculty Compensation:** <https://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>  
**Policy on Faculty Conflict of Commitment:**  
<https://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>  
**Policy on Faculty Financial Conflict of Interest:** <http://orc.osu.edu/files/Policy-on-Faculty-Financial-Conflict-of-Interest.pdf>  
**Policy on Faculty Paid External Consulting:**  
<https://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>  
**Policy on Faculty Professional Leave:**  
<https://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>  
**Rules of the University Faculty:** <https://trustees.osu.edu/index.php?q=university/facultyrules>  
**Sample Letter Requesting External Evaluation:** <http://oaa.osu.edu/sampledocuments.html>