

**APPOINTMENTS, PROMOTION AND TENURE
DEPARTMENT OF BIOLOGICAL CHEMISTRY
AND PHARMACOLOGY
COLLEGE OF MEDICINE
OHIO STATE UNIVERSITY**

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I. PREAMBLE

This document is a supplement to Chapter 6 and 7 of the [Rules of the University Rules](#) (Rules of the University Faculty Concerning Faculty Appointments, Reappointments, Promotion And Tenure; Rules of the University Faculty Concerning Clinical Faculty and Research Faculty Appointment, Reappointment And Non-reappointment, And Promotion, respectively), the Office of Academic Affairs procedural guidelines for promotion and tenure reviews, and the policies established by the College of Medicine. Should those rules and policies change, the department shall follow the new rules and policies and update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least once every four years on appointment or reappointment of the department Chair.

The Dean of the College and the Office of Academic Affairs must approve this document before it can be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and University, its criteria and procedures for faculty appointments, and its criteria and procedures for faculty promotion, tenure and rewards, including salary increases. In approving this document the Dean and Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating continuing faculty and candidates for positions in relation to its mission and criteria.

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

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

II. DEPARTMENT MISSION

The Department of Biological Chemistry and Pharmacology is dedicated to the discovery and dissemination of new knowledge and to providing a state-of-the-art education to undergraduates, professional students, graduate students and postdoctoral fellows in biochemistry, pharmacology and related disciplines. Excellence in research, teaching, and service is considered fundamental to achieving the department's mission. The department should provide an environment for the faculty and trainees to develop their full intellectual, research and educational potential.

Department faculty are involved in diverse areas of research that are united by the goal of identifying the molecular mechanisms underlying human health and disease. The department's teaching component includes the biochemistry, pharmacology, molecular biology and nutrition portions of the medical and health sciences programs as well as graduate training of Ph.D. students (both formal coursework and research training). Department faculty participate in, and contribute to, a number of graduate programs including the Biomedical Sciences Graduate Program (BSGP), the Ohio State Biochemistry Program (OSBP), the Molecular, Cellular and Developmental Biology Program (MCDB), the Biophysics Graduate Program and the Neuroscience Graduate Program (NSGP). The Department of Biological Chemistry and

Pharmacology also offers a Masters in Clinical Pharmacology Program. The faculty strive to integrate research and teaching to provide the most progressive and challenging environment for trainees in both the laboratory and the classroom. Department faculty participate in service that includes work at the national and local levels in relation to professional societies and journals, peer review for granting agencies, as well as administrative service on Departmental, college and University committees.

III. DEFINITIONS

A. COMMITTEE OF THE ELIGIBLE FACULTY

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

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

(1) Tenure-track Faculty

Initial Appointment Reviews

- For an appointment (hiring or appointment change from another faculty type) review of an assistant professor, the eligible faculty consists of all tenure-track faculty in the department.
- For appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position requested.

Reappointment, Promotion, or Promotion and Tenure Reviews

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

(2) Research Faculty

Initial Appointment Reviews

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

- For appointment (hiring or appointment change from another faculty type) at senior rank (research associate professor or research professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position requested and all nonprobationary research faculty of equal or higher rank than the position requested.

Reappointment, Contract Renewal, and Promotion Reviews

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

(3) Conflict of Interest

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

(4) 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 COMMITTEES

There are two Appointment, Promotion and Tenure Committees, a senior committee consisting of tenured Professors and a full committee that consists of all tenured Professors and Associate Professors. The Senior Committee considers promotion of Associate Professors to the rank of Professor whereas the other committee considers promotion of Assistant Professors to the rank of Associate Professor. The Chair is the same for both of the committees and is appointed by the Chair of the Department of Biological Chemistry and Pharmacology to a term of 4 years. These committees serve as a resource to faculty with questions on promotion and tenure issues; however, the Chair of the committee is responsible for directly assisting candidates for tenure and/or promotion in completion of the dossier. The full committee also conducts annual evaluations of untenured faculty assessing their yearly progress toward promotion and tenure, and provides feedback and guidance for further faculty development. All committee members critically review the dossier of all promotion and tenure candidates in which the Department of Biological Chemistry and Pharmacology serves as the tenure initiating unit. Committee members vote on these issues. The committee Chair summarizes dossiers that are presented in

consideration of reviews for promotion and/or tenure, but does not make a decision for, or a recommendation to, the AP& T committees. The full committee also reviews all faculty applicants on an annual basis for appointment or reappointment for adjunct or joint appointments within the Department.

When considering cases involving research faculty the relevant Appointment, Promotion and Tenure Committee may be augmented by two nonprobationary research faculty members.

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.

For appointment, reappointment, promotion and tenure, promotion, and contract renewal, a positive recommendation from the eligible faculty is secured when a simple majority of the votes cast are positive.

IV. FACULTY APPOINTMENTS AND REAPPOINTMENTS

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

A. CRITERIA

(1) Tenure-track Faculty

(a.) Instructor

According to Faculty Rule [3335-6-03](#), an appointment to the rank of instructor is always probationary and may not exceed three years. An instructor must be approved for promotion to assistant professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year. When an Instructor is promoted to Assistant Professor, prior service credit will only be awarded if the faculty member requests it in writing at

the time of promotion. This request requires approval of the Chair, Dean and Provost and cannot be revoked.

(b.) Assistant Professor

An appointment to the rank of Assistant Professor is always probationary and usually may not exceed six years, including prior service credit. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged, as it cannot be revoked once granted. An appointee at the assistant professor level normally will have a Ph.D. and a strong post-doctoral experience. Candidates for appointment at this rank will be expected to have demonstrated an initial level of accomplishment in the establishment of a research career. This will be reflected by the achievement of journal publications and presentation of papers at recognized scientific societies. Previous or current research support will be highly desirable.

An Assistant Professor is reviewed for promotion and tenure no later than the sixth year of appointment as an Assistant Professor and informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year. Promotion and tenure may be granted at any time during the probationary period when the faculty member's record of achievement merits tenure and promotion. Similarly, a probationary appointment may be terminated at any time subject to the notice provisions of Faculty Rule [3335-6-08](#) of the Administrative Code and the provisions of paragraphs (G), (H), and (I) of this rule. If tenure is not granted, a one year terminal year of employment is offered. See below Article V on Annual Reviews Procedures and Article VII on Promotion and Tenure Review for more.

(c.) Associate Professor or Professor

The criteria for appointment at the rank of Professor or Associate Professor in the Department will be consistent with those for promotion to these ranks as defined later in this document regarding criteria for promotion and tenure. All appointments to the rank of Associate Professor or Professor require prior approval of the dean, and the Office of Academic Affairs.

In general, an appointment at these ranks will entail tenure. However, in some cases, candidates may be appointed without tenure for a probationary period as specified by Faculty Rule [3335-6-03](#) (Length of probationary period). Upon petition of the department and college, the probationary period, not to exceed four years, may be granted by the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

For the petition to be approved a compelling rationale must be provided regarding why appointment at a senior rank is appropriate but tenure is not. Care in making these appointments will be exercised, especially if the probationary period will be less than four years. Requests for such appointments will be submitted for approval by the Dean of the College of Medicine, and the Office of Academic Affairs. In the Department, the length of probationary service for Associate Professors or higher will be reviewed by the departmental Appointment, Promotion, and Tenure (APT) Committee with a recommendation provided to the department Chair.

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.

During the probation period, faculty members at these ranks are governed by the same rules as those for the Assistant Professor (see above), regarding their promotion, tenure, termination, and notification of termination.

(2) Research Faculty

Research faculty appointments are fixed-term contract appointments that do not entail tenure. Contracts, agreed upon by the faculty member and the Chair, will be for a period of at least one year and for no more than five years, and will explicitly state the expectations for salary support. The initial contract is probationary. The Chair will inform the faculty member whether he or she will be reappointed for the following year by the end of each probationary year. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. 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. There is no presumption that a new contract will be extended, regardless of performance. In addition, the terms of a contract may be renegotiated at the time of reappointment. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment.

The goals of such appointments are career advancement of qualified individuals in the research groups of the Department's tenured faculty (the Sponsor), providing the opportunity for individuals to develop their own independent research programs, including specifically the ability to obtain independent grants. The term "research faculty" will exist solely for the purpose of recording this type of appointment in the employment database of The Ohio State University. Titles will be "Research Assistant Professor", "Research Associate Professor" and "Research Professor".

(a.) Research Assistant Professor

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

(b.) Research Associate Professor and Research Professor

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

The primary duty of research faculty is to conduct research. They are expected to demonstrate excellence in scholarship as reflected in high quality peer-reviewed publications; publications independent of the Sponsor and independent grant support are expected within three years of appointment. Research faculty may, but are not required to, participate in the educational mission of the Department. However, teaching opportunities for each research faculty member must be approved by a majority vote of the tenure-track faculty. Under no circumstances may a member of the research faculty be continuously engaged over an extended period in the same instructional activities as tenure-track faculty.

Research faculty may attend faculty meetings in the Department upon invitation by the Chair, but may not vote. Research faculty may be appointed to any standing or ad hoc committees in the Department at the discretion of the Chair, with the exception of the Appointment, Promotion and Tenure Committees. Research faculty will be eligible to serve on University committees and task

forces but not on university governance committees. Research faculty will also be 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 set forth in rule [3335-5-29](#) and detailed in the graduate school handbook.

Research Faculty appointments will require one hundred per cent salary recovery that will be derived from extramural funds. They may comprise no more than 25% of the number of tenure-track faculty. See Section B.3 below for appointment and contract terms for research faculty.

(3) Associated Faculty

Associated faculty as defined in Faculty Rule [3335-5-19](#) (C) are persons with adjunct titles, clinical titles, visiting titles, and lecturer titles; also professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than 50% service to the University. Persons with tenured faculty titles may not hold associated titles. Persons holding associated titles are not eligible for tenure. Associated faculty may be reappointed.

(a) Adjunct: Instructor, Assistant Professor, Associate Professor or Professor

The titles of Adjunct Instructor, Adjunct Assistant Professor, Adjunct Associate Professor, and Adjunct Professor, shall be used to confer faculty status on individuals who have credentials comparable to faculty of equivalent rank, who provide significant uncompensated or compensated service to the instructional and/or research programs of the University and who require a faculty title to perform that service. Significant service would include teaching the equivalent of one or more courses, advising graduate students or serving on graduate committees, and serving as a co-investigator on a research project. Such individuals may be either non-university employees or University employees compensated on a non-instructional budget. Adjunct appointments are made for the period in which the service is provided not to exceed three years; renewal is contingent upon continued significant contributions. Procedures for the promotion of adjunct faculty members shall be the same as for promotion of faculty [see Rule [3335-5-19](#) (C) (1)]. Adjunct appointments are at the discretion of the department Chair after consultation with the relevant APT committee. These appointments require formal review every year by the Chair if they are to be continued.

(b) Lecturer

The titles of lecturer and senior lecturer shall be used for all compensated instructional appointments where other titles are not appropriate. Lecturers may engage in the full range of teaching activities as defined under Faculty Rule [3335-6-06](#) (A)(2). Appointments of lecturers and sources(s) for compensation will be at the discretion of the department Chair after consultation with the faculty. Lecturers may be promoted to senior lecturer if they meet the criteria for appointment at that rank. Neither lecturers nor senior lecturers are eligible for tenure, and the initial appointment for both ranks should generally not exceed one year.

(c) Visiting: Instructor, Assistant Professor, Associate Professor or Professor

The titles of Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor shall be used to confer faculty status on individuals who have credentials comparable to faculty of equivalent rank who spend a limited period of time on formal appointment while in residence at this institution for the purpose of participating in the instructional and research programs of the University. Visiting faculty members are not eligible for tenure or promotion. A visiting appointment cannot exceed three continuous academic years of service [see Rule 3335-5-19 (C) (3)]. Visiting appointments are at the discretion of the department Chair after consultation with the relevant APT committee. The appointments can be made for only one year at a time.

(d) Emeritus Faculty

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

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

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

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

(4) Courtesy Appointments

Courtesy appointments (joint appointments with no salary) are faculty members from other departments who make important contributions to the Department. Courtesy (Joint) appointments may be made to any University faculty from other tenure-initiating units whose substantial contribution in teaching and whose research interests enhance the mission of the department. Faculty with courtesy appointments will be invited to faculty meetings and may be eligible to vote on issues of interest to those holding courtesy appointments. Faculty members with courtesy appointments do not vote on Department Patterns of Administration, Workload Policy and Promotion and Tenure issues. These faculty members may also vote on matters when serving on ad hoc department committees. Courtesy appointments will be reviewed annually by the Chair. Titles assigned to courtesy appointments must mirror those held in their major university appointments.

B. PROCEDURES OF APPOINTMENT AND REAPPOINTMENT

[Chapter 6](#) of the Faculty Rules provides the context for appointment, reappointment and tenure in the Department of Biological Chemistry and Pharmacology.

(1) Tenure-Track Faculty

The Tenure-track exists for those faculty members who strive to achieve sustained evidence of excellence in the discovery and dissemination of new knowledge, as demonstrated by a national and international level of significance and recognition of scholarship. In addition, excellence in teaching and outstanding service to The Ohio State University is required, but alone is not sufficient for progress on this track.

Appointment decisions for faculty positions, as defined in rule [3335-6-02](#) of the Administrative Code, must be based on criteria that reflect strong potential to enhance the quality of the Department. Each candidate for appointment should undergo an appropriate faculty review by the Department.

Positions at the level of Assistant Professor are offered to faculty candidates who either have no prior faculty experience, or who have an academic appointment elsewhere but have not yet received tenure. These positions will be filled after a national, competitive search in an appropriate research area that is consistent with the mission of the department.

Criteria for these positions include (1) demonstrated research productivity as reflected in peer-reviewed papers published in peer reviewed journals; (2) demonstrated ability to secure extramural grant support, or clear evidence for the likely prospects of same; and (3) evidence of potential excellence in teaching.

Positions at the level of Associate Professor are offered to those who have either satisfied the criteria below for tenure while appointed at the Assistant Professor level, or who have been recruited by a national, competitive search and have successfully obtained tenure at a peer institution with equivalent rigorous standards for promotion and tenure. New recruits who received tenure at an institution that does not have standards comparable to the department may be appointed at the associate level without tenure. Under circumstances of demonstrated ability, a position at the Associate Professor level may be filled by an individual recruited from elsewhere, who have not received academic tenure at the previous institution.

The major criterion for evaluation of the candidate's research program are that the candidate has built a robust research program that has national impact in the field of Biological Chemistry and Pharmacology as indicated by: (1) a body of publications in the relevant peer-reviewed journals; (2) impact of the scholarship as measured by journal quality, citations indexes, the candidates H-factor, and other similar metrics (3) demonstrated ability to obtain and sustain competitive grant support at the national level. Typically, this grant support will come from the National Institutes of Health, the National Science Foundation or other national granting agency having a recognized peer-review process for making awards; (4) demonstrated success in training graduate students and post-doctoral scholars; and (5) other evidence of a nationally recognized research program (e.g., invitations to speak at national and international scientific meetings, seminar invitations, invitations to review manuscripts and grants, invited review articles, etc.).

Teaching will be evaluated on the basis of the quality of a formal departmental seminar as well as evaluation of the candidate's prior teaching performance, including any teaching awards received at the applicant's prior institutions. Service will be evaluated on the basis of the candidate's: documented participation at the national or international level in the organization of scientific meetings, peer-review of grant applications or service on the editorial boards of scientific journals.

Positions at the level of Professor are offered to those who have either satisfied the criteria below for promotion to Professor, or who have been recruited by a national, competitive search and have met the criteria. Briefly, criteria for appointment at the rank of Professor include performance in the areas of research, teaching and service. The candidate should have achieved a level of international impact and evidence for national/international leadership. Examples of leadership included invited presentations at prestigious national and international meetings, elected office in national and international research organizations, chairing NIH or other major study sections, service as editor for scientific journals or on the editorial board of the most prestigious journals, and invited reviews in high impact biochemical journals. External letters will be sought for evaluation of the candidate's research effort addressing these specific points. Teaching will be evaluated by peer and student reviews, and teaching awards received. Service will be evaluated on the basis of the candidate's: documented participation in significant department, college and university committees and at the national or international level in the organization of scientific meetings, peer-review of grant applications or service on the editorial boards of scientific journals.

The appointment of tenure-track positions must be based on a clear and sound plan for the programmatic future of the department and college and on a realistic determination of the availability of resources to support the appointment. The dean of the college must give prior approval of faculty searches. This approval will be based at least in part on a determination that the above criteria have been met. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise

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 department chair appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the department. The majority of the Search committee should be composed of faculty members from the Department of Biological Chemistry and Pharmacology. Exceptions to this policy should be supported by the faculty at the Department with simple majority in favor, and must be approved by the college and the Office of Academic Affairs in advance.

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 Job Postings through the [Office of Human Resources](#) and external advertising (for example, *Science and Cell*), 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 field-specific nationally prominent journal.
- Screens applications and letters of recommendation. A minimum of three external letters will be sought for evaluation of the candidate's research effort, teaching, and service. The Chair can solicit additional letters from outside referees not provided by the candidate when appropriate. The committee then 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).

Candidates identified will be interviewed. This interview will include a formal seminar and an informal meeting with faculty to discuss future scientific and teaching plans. On-campus interviews must include opportunities for interaction with faculty groups, including the search committee; graduate 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. A simple majority in favor indicates consensus support for appointment. The Search Committee provides a recommendation to the Chair who will make an independent evaluation of the candidate and negotiate the terms of appointment. The Chair will then send a letter indicating the department's recommendation to the Dean.

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.

All offers at the level of Associate Professor and Professor, with or without tenure, require full review by the relevant Department APT committee, which will make a specific recommendation to the Chair. These appointments, including any offers of prior service credit, must be approved by

the Office of Academic Affairs. Offers to foreign nationals will be undertaken in consultation with the Office of International Affairs.

During a probationary period, a faculty member does not have tenure and is considered for reappointment annually. At the time of appointment, the departmental Chair shall provide the probationary faculty member with a copy of the Department Promotion & Tenure guidelines. It is the responsibility of the Chair to review with the faculty member the process for promotion and tenure in the Department. At the time of appointment the overall research objectives as well as the teaching assignments of the appointee, in the professional and graduate programs in the Department, will be defined.

(2) Research Faculty

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

Appointments to the research faculty are made in accordance with Faculty Rule [3335-7-32](#) which states: With tenure-track faculty majority approval, research faculty may be appointed by colleges that do not have schools or departments and by schools and departments in colleges that have such subunits. See Faculty Rule 3335-7 for more information. Research faculty may comprise no more than 25% of the number of tenure-track faculty as approved by a vote of tenure-track faculty in the Department.

It is expected that 100% of a research faculty member's salary will come from extramural research grants for which typically either the research faculty member or his/her Sponsor will be Principal Investigator. The Sponsor must certify to the departmental Chair that sufficient research grant funds exist to cover the salary over the period of the contract. Research faculty will not be assigned research space, but will work in specifically designated space assigned to a Sponsor, a tenure-track faculty member in the Department. Space designation will be made in writing, in the form of a letter from the Sponsor to the department Chair. Space made available will be consistent the Department space policy, which depends on extramural funding.

While continued collaboration with the Sponsor is likely, research faculty are expected to begin to publish a body of work independent of the Sponsor. Peer-reviewed publications independent of the Sponsor and independent grant support are expected within three years of appointment. These expectations are consistent with the career development goals of the research in the Department. Research faculty will be appointed at a level consistent with the criteria for research stated above for the tenure-track faculty in the Department.

Appointments at the Research Assistant Professor level shall be made by the Chair, with support of the majority of tenured faculty. Appointments at the Research Associate Professor or Professor level shall require a full review and recommendation in writing by the relevant APT Committee to the Chair of the Department, who is ultimately responsible for making the decision at the Departmental level.

(a) Research Assistant Professor

Positions may be offered to individuals of exceptional research promise, who typically will be long-standing members in the research groups of the tenure-faculty in the Department. Criteria for these positions include 1) an earned doctoral or other terminal degree in the relevant field of

study, 2) completion of sufficient post-doctoral research training to provide a basis for establishment of an independent research program, 3) demonstrated research productivity as reflected in papers published in peer-review journals, 4) an attitude which reflects adherence to standards of professional ethical conduct consistent with the "[Statement on Professional Ethics](#)" by the American Association of University Professors, and 5) demonstrated ability to secure extramural grant support, or clear evidence for the likely prospects of same.

(b) Research Associate Professor

Appointment requires the candidate to have met the criteria listed above for Research Assistant Professor and established an independent program of research over a period of at least six years. While the individual may continue to collaborate with his/her tenure- Sponsor, it is expected that the individual will have published a significant body of work independently of the Sponsor. Criteria for evaluation of the candidate's research program include 1) publications in the principal peer-reviewed journals in the field of biochemistry and molecular biology, 2) demonstrated ability to obtain and sustain extramural grant support. Typically, this grant support will come from federal grant agencies having a recognized peer review process for making awards; and 3) other evidence of a nationally/internationally recognized research program (e.g., invitations to speak at national and international scientific meetings, etc., as above for the tenure-track).

(c) Research Professor

Criteria for appointment include demonstration of an independent, internationally recognized research program over a period of at least six years since appointment as Associate Research Professor. Evaluation of the research program includes each of the criteria for the Research Associate Professor level, with the additional expectation that the research program has achieved a level of international prominence. Prominence will be judged, for example, by invited presentations at prestigious national international meetings, invited reviews in high-impact biochemical journals and similar indicators listed above.

(3) Transfer from the Tenure Track

Tenure-track faculty may transfer to a 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. Such a transfer requires the following:

- (i) The request for transfer must be initiated by the tenure-track faculty member in writing and must state clearly how the individual's career goals and activities have changed.
- (ii) When a tenured faculty member transfers to the research track, tenure is relinquished.
- (iii) The Department Chair, the College Dean, and the Executive Vice President and Provost must approve all such transfers.

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

(4) Associated Faculty

Appointment will be based on the needs of the Department and expected or continuing contributions to the Department. Rank will be based on the same criteria as for the various tenure-track faculty ranks.

Associated faculty appointments are initiated either by the candidate, or by a representative of the department responsible for a program (usually an educational program) in which the candidate is expected to have a substantial role. The appointments are made by the Chair after consultation with the tenure-track faculty.

Appointments are made on an annual basis, for periods not to exceed three years and entail no commitment to renew the appointment beyond that period. An appointment at no-salary is warranted only if there is substantial involvement in the academic work of the department.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track faculty (see Appointment Criteria above), with the exception that the review does not proceed to the college level if the department chair's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

For emeritus appointments, the Chair requests input from the Senior APT Committee. The evaluation for appointment to Emeritus status should encompass the overall contributions of the faculty member to his/her field of study and teaching and in the area of service; to contributions to the department, college, university and community. The APT Committee will request from the candidate and from any other source deemed appropriate documentation to facilitate evaluation. All evaluations by the APT Committee are advisory to the department Chair.

(5) Courtesy Appointments for Faculty

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

V. ANNUAL REVIEW PROCEDURES

The department follows the requirements for annual reviews as set forth in the Faculty Annual Review Policy (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>).

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 documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. The due date for the annual review material will be communicated to the faculty in the Spring semester of each year.

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

On an annual basis the probationary faculty member will provide to the Chair and the Department relevant APT committee a written report describing activities during the preceding year as well as plans for the next year. It is expected that this report will include student teaching evaluations, a summary of funded and pending grants as well as a list of published and submitted papers. The report should also include a list of all service activities i.e., department, college and university committees as well as a summary of all other professional activities. In addition to documentation of the candidate's achievements, the report may also contain any information documenting why it was not possible to achieve objectives and whether commitments made by the Department, College or University were not fulfilled as promised. It is the responsibility of the Chair of the relevant Department APT Committee, in consultation with all tenured faculty, to provide the Department Chair with an overall written assessment of the progress of the candidate. The Department Chair shall then provide the faculty member with an overall letter of evaluation noting strengths and weaknesses. A copy of this letter is retained in the candidate's file and sent to the Dean of The College of Medicine.

When probationary faculty receive their annual review, the tenure initiating unit Chair meets with the faculty members to discuss the review and to inform them of their right to review their primary personnel file maintained by their tenure initiating unit and to place in that file a response to any evaluation, comment or other material contained in the file (see Faculty Rule [3335-3-35](#) of the Administrative Code). If the department chair recommends renewal of the appointment (regardless of the faculty recommendation), this recommendation is final. In the event that either the Department APT Committee or Chair believe that non-renewal of a probationary appointment may be appropriate, fourth year review procedures, as described below per Faculty Rule [3335-6-03](#), must be followed. If the Chair recommends non-renewal following faculty review (regardless of the faculty recommendation), the case is sent to the dean for college level review. The dean makes the final decision in the matter.

(1) Fourth Year Review

The process for the fourth year review differs from that of annual review procedures in that a more formal evaluation will be carried out. The Department Chair and the relevant Department APT committee will separately review the candidate's dossier and the letters of evaluation from the three preceding years. The Department does not solicit external letters of evaluation for the fourth year review but otherwise sixth year review processes will be followed. The Chair and the Appointment, Promotion and Tenure Committee will then make their independent evaluation as to whether the candidate should be recommended for appointment for the fifth year. The APT committee will provide the Chair with their letter of evaluation. The Chair will then prepare a letter of recommendation to the Dean of The College of Medicine. 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.

Appointment to the fifth year requires the approval of the Dean of the College of Medicine. Before reaching a negative decision, or a decision contrary to that expressed in the letter from the Departmental Chair, the Dean will consult with the relevant College Appointment, Promotion and Tenure Committee.

(2) Termination of Probationary Appointments

Probationary appointments may be terminated during any probationary year because of inadequate performance or inadequate professional development. At any time other than the fourth year review or mandatory review for tenure, a nonrenewal decision must be based on the results of a formal performance review conducted in accord with fourth year review procedures described above. Notification of nonrenewal must be consistent with the standards of notice set forth in Faculty Rule [3335-6-08](#) of the Administrative Code.

Probationary appointments may be terminated for fiscal or programmatic reasons. When nonrenewal is based on fiscal or programmatic reasons, the faculty member should be advised that such nonrenewal is a possibility and formal notice of nonrenewal should be provided as soon as possible after the need for nonrenewal is established. Nonrenewal of a probationary appointment for fiscal or programmatic reasons does not entail a performance review and requires the prior approval of the executive vice president and provost. Because hiring decisions should be based on informed assumptions regarding the future availability of resources and of programmatic needs, approval of such non-renewals will be based on the extent to which convincing evidence is provided that the fiscal or programmatic reasons for the nonrenewal could not be anticipated when the appointment was made and are expected to be long lasting.

Decisions affecting the nonrenewal of a probationary appointment may not be arbitrary or capricious or carried out in violation of a faculty member's right to academic freedom. Faculty Rule [3335-5-05](#) of the Administrative Code provides a procedural mechanism under which an aggrieved probationary faculty member can challenge a nonrenewal decision believed to have been improper. In that instance, however, the burden of proof is on the probationary faculty member to establish that the nonrenewal decision was improper. (See also rule [3335-6-05](#) of the Administrative Code).

(3) Exclusion of Time from the Probationary Period

An untenured faculty member will have time excluded from the probationary period in increments of one year to reflect the care-giving responsibilities associated with the birth of a child or adoption of a child under age six. The Department Chair will inform the Office of Academic Affairs within one year of the birth of a child or the adoption of a child under age six of a probationary faculty member unless the exclusion of time is prohibited by paragraph (D)(iii) of Faculty Rule [3335-6-03](#). The probationary faculty member may choose to decline the one year exclusion of time from the probationary period granted for the birth or adoption of a child under six years of age by so informing the Chair, Dean and the Office of Academic Affairs, in writing, before April 1 of the new mandatory review year following granting of the declination. The exclusion of time granted under this provision in no way limits the award of promotion and tenure prior to the mandatory review year (see following paragraph). The maximum amount of time that can be excluded from the probationary period for the birth of a child or adoption of a child under age six is one year.

A probationary faculty member may apply to exclude time from the probationary period in increments of one year because of personal illness, care of a seriously ill or injured person, an unpaid leave of absence, or factors beyond the faculty member's control that hinder the performance of the usual range of duties associated with being a successful university faculty member, i.e., teaching, scholarship, or service. Requests to exclude time from the probationary period made under the terms of this paragraph must be submitted to the Chair. Requests shall be reviewed by the relevant Appointment, Promotion and Tenure Committee which shall advise the Chair regarding their appropriateness. Such requests require approval by the Chair, Dean, and

Executive Vice President and Provost. A request to exclude time from the probationary period for any of these reasons must be made prior to April 1 of the year in which the mandatory review for tenure must occur. The extent to which the event leading to the request was beyond the faculty member's control, the extent to which it interfered with the faculty member's ability to be productive, and the faculty member's accomplishments up to the time of the request will be considered in the review of the request.

A request to exclude time from the probationary period for any reason will not be granted after a nonrenewal notice has been issued nor will previously approved requests to exclude time from the probationary period in any way limit the university's right not to renew a probationary appointment.

Except in extraordinary circumstances a maximum of three years can be excluded from the probationary period for any reason or combination of reasons for an Instructor, Assistant Professor or Associate Professor. Exceptions require the approval of the Chair, Dean, and Executive Vice President and Provost.

Faculty members will be reviewed annually during their probationary periods regardless of whether time is excluded from that period for any of the above reasons unless their absence from campus during an excluded period makes conduct of such a review impractical.

For purposes of performance reviews of probationary faculty, the length of the probationary period is the actual number of years of employment at this university less any years of service excluded from the probationary period under the terms of this rule. Expectations for productivity during the probationary period cannot be increased as a consequence of exclusions of time granted under the terms of this rule.

Service credit of up to three years may be granted for prior work experience at the time of the initial appointment and requires the approval of the Chair, Dean, and Executive Vice President and Provost. Prior service credit shortens a probationary period by the amount of the credit and once granted cannot be revoked except through an approved request to exclude time from the probationary period. Prior service credit will not be granted for employment in any associated faculty title (such as adjunct, visiting, clinical, or lecturer), special title (such as graduate associate) or part-time position (less than fifty per cent service).

Probationary faculty members on less than full-time service for part or all of their probationary period may request an extension of the probationary period. The extension must be requested prior to the beginning of the year in which the normally scheduled mandatory review for tenure would take place and requires approval of the Chair, Dean, and Executive Vice President and Provost. The extension shall be for an integral number of years based on the principle that the usual probationary period represents full-time service.

B. TENURED FACULTY

On an annual basis every tenured faculty member will provide the Chair with an updated CV and a written report describing accomplishments in research, teaching and service during the preceding year. Current copies of all faculty CVs are available in the Department office and are available to all faculty members in the Department. The Chair will meet with all tenured faculty members and provide them with a written evaluation of their performance. This statement must contain an explanation documenting salary recommendations. It is expected that one outcome of this evaluation process will be constructive feedback concerning professional development of

each faculty member. This will include (but not be limited to) constructive suggestions related to: (1) development of grant applications; (2) submission of manuscripts and appropriate response to reviewers' criticisms; (3) development of teaching skills; (4) involvement in service at the national level (including service on federal grant review panels, journal editorial boards and national/international meetings); and (5) service within the University (both administratively and with regard to the several graduate programs relevant to the Department's mission, including service on thesis committees).

Associate Professors will also be reviewed for continued progress toward meeting the criteria for Professor and goals will be set to meet this criteria.

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 (or designee) prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

C. RESEARCH FACULTY

In the first term, research appointments at all levels in the Department are probationary, with annual reviews to be conducted by the Department Chair. 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. Full reviews by the relevant APT committee will take place in the penultimate year of the appointment, following the Fourth-Year Review procedures for tenure-track faculty, with a specific recommendation based on a majority vote of eligible faculty being made to the Chair as to whether the appointment should be extended and a new contract offered. The Chair will conduct an independent review.

The research faculty member will be informed by the Chair whether the appointment will be renewed for another term. Subsequent appointment will be for one to five years. In all cases, 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.

During and until the end of the second and subsequent contract periods, research faculty appointments may be terminated for not meeting the terms of the contract (e.g. failure to obtain

extramural support). Appointments may also be terminated during a contract period for cause (see Rule [3335-5-04](#) of the Administrative Code) or financial exigency (see Rule [3335-5-02.1](#) of the Administrative Code). Termination decisions for either of these reasons shall result from procedures established by faculty rules. The standards of notice set forth in Rule [3335-6-08](#) of the Administrative Code apply to research faculty appointments. In addition, a contract may be renegotiated during a contract period, but only with the voluntary consent of the research faculty member.

D. 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.

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 are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that salaries reflect the market and are internally equitable.

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 at the time of annual salary recommendations.

The quality of teaching, scholarship, and service, as established during the annual review, will all be taken into account in assessing performance for purposes of merit salary increases each year. The quality of teaching will be judged by student evaluations of formal coursework, by written peer evaluation of teaching in formal coursework, and by chairing and membership on Ph.D. and M.S. graduate committees. Scholarship will be judged in terms of extramural research funding and publication in high impact peer-reviewed journals. Service shall include committee work at the department, college and university level and service to local, national and international professional organizations. Because the assignments and duties of individual faculty members differ, the relative weight given to accomplishments in teaching, scholarship and service will vary.

Special accomplishments in a given academic year will have a favorable impact on recommended salary increases. These would include formal recognition for outstanding teaching or research,

new extramural research funding, election to high office in a national or international scientific organization, assuming the editorship of a major scientific journal, etc.

Consideration will also be given to the appropriateness of the salary level to the individual's overall record and to the salaries of other individuals within the department with comparable overall records. Salary equity excellence pay raises will be considered in raise recommendations, but they are separate from merit salary increases.

Faculty who fail to submit the required documentation for an annual review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

B. PROCEDURES

Based on the above criteria, each faculty member will be given a performance assessment by the Chair as outstanding, excellent, good, adequate, or need improvement. Salary increases are formulated in dollar amounts rather than percentage increases.

The Chair's assessment and its justification will be communicated in writing to the faculty member, who will have the opportunity to respond in writing within 10 calendar days and prior to submission of the evaluation to the Dean of the College of Medicine. The Dean may modify the recommendation.

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 be submitted to the department chair by a date determined each year by the chair. This date will be communicated to the faculty at least one month prior the due date.

Probationary tenure-track faculty must follow the Promotion and Tenure dossier outline prepared by the Office of Academic Affairs to record their performance for annual reviews and for salary determination. The department will use an abbreviated but similar format to document the accomplishments of the remainder of its faculty, however it is recommended associate professors maintain a complete dossier. The department will require adequate documentation of performance in teaching, scholarship, and service, as detailed below. Merit increases will be denied to faculty who submit documentation insufficient to permit an informed evaluation of their performance and who fail to rectify this deficiency within 10 calendar days of having been informed in writing by the Chair that documentation is inadequate.

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.

Additional details on documentation of performance are provided in the following section on Promotion and Tenure.

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

(1) Teaching

Cumulative eSEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class taught.

Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details, including required number, included in section VII A1b 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. 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 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 REVIEW

A. CRITERIA

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 college enters new fields of endeavor, including research institutes, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care will be taken to

apply the criteria with sufficient flexibility. In all instances, superior intellectual attainment is an essential qualification for promotion to tenured positions.

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

(1) Promotion to the Rank of Associate Professor with Tenure

The awarding of tenure and promotion to the rank of Associate Professor shall 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 department and to the university.

The department shall exercise very high standards for the awarding of tenure since a positive tenure decision has a powerful impact on the quality and future of the department. Although criteria will vary according to the particular responsibilities of each faculty member, every candidate shall be held to a standard of excellence in all aspects of performance. The pattern of performance over the probationary period should yield a high degree of confidence that the candidate will continue to develop professionally.

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

(a) Research/Scholarship

Demonstration of national recognition and impact for a coherent and thematic independent program of scholarship is an essential requirement for promotion to Associate Professor and the award of tenure. 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, and achievement of a national reputation for expertise and impact in biochemistry, pharmacology or related fields. As laid out in the [College of Medicine APT Document](#), there are multiple metrics available for judging the excellence and impact of scholarship, and the full range of available criteria should be considered in evaluating the candidate's program. Quality and innovation will be considered more important than sheer quantity or strict adherence to traditional scope. Publication as corresponding author in peer-reviewed, high quality or top-cited journals in the field(s) is mandatory. Funding from NIH or an equivalent Federal Agency (e.g., NSF, DoD, USDA, etc.) as a Principal Investigator, including the Multiple Principal Investigator mechanism, is mandatory for promotion. Additional established indicators of a national reputation are requirements for promotion and tenure. Specific criteria for evaluation of the candidate's research program include:

(1) Achievement of National Recognition and Impact on the Field

First and foremost, promotion to Associate Professor with Tenure requires excellence and demonstration of significant impact in research. Impact is the single most important criterion for promotion and is determined primarily by high quality research. There are several measures that will be considered by the relevant APT Committee as evidence of scientific impact: (a)

Publications as first or senior author in the field's highest quality or top-cited journals, (b) citation rates (the number of times a paper has been cited by other publications), (c) the candidate's h-index or other citation metrics, (d) invitations to speak at national and international meetings and for seminars at other institutions, (e) appointment to editorial boards or to review for top-level journals, (f) invitations to write review articles, (g) participation on steering, guideline, or advisory committees of national organizations, (h) invitations to serve on grant review panels, (i) receipt of national scientific awards, (j) invitations for productive collaborations with external researchers, and (k) recognition of impact from outside evaluators.

Successful promotion will require the demonstration of impact, not just the potential for impact. Although review articles may form a portion of the publication list (typically less than 30%), and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion. The candidate's citation rate will be documented and verified by the Procedures Oversight Designee (POD); the dossier will contain a citation table that indicates the number of citations for individual papers published at The Ohio State University, as well as an overall career citation index. It is recognized that the citation rate for papers published within 1-2 years before review for promotion and tenure may be low due to the short time the work has been available. However, evidence that the work is well received would be supportive of its impact, and would commonly be documented in outside expert letters of evaluation (see below). For probationary faculty recruited from other institutions where they served in a faculty-level position, scholarly activity at the previous institution will be considered equally. Demonstration of impact and a national reputation of an independent program of research is a prerequisite for promotion to Associate Professor and awarding of tenure.

(2) Publications

Publications represent the archival results of the faculty member's research program both before and since their appointment in the Department, and play a critical role in evaluations for promotion and tenure. If a former mentor is retained as an author on the candidate's papers beyond the first year of faculty appointment, the reasons must be clearly stated with regard to independence of the candidate's research program. It is expected that faculty members will publish consistently. The primary metric for evaluating publication records will be to determine whether the faculty member has established a consistent pattern of high-quality publications resulting from work primarily conducted independently in the candidate's laboratory. Publications as corresponding author in the principal, peer-reviewed journals of a field would be considered suitable for meeting the criteria. It is expected that independent, publications as corresponding author will constitute a substantial portion of the publication list. However, faculty members are encouraged to participate in collaborative multidisciplinary research, and it is therefore recognized that a faculty member's record of scholarship will include papers on which they are secondary author. High impact publications in which faculty members have participated as a member of a broader team-based approach to manuscript development and publication will also be recognized as evidence of scholarship, especially when specific roles in team scholarship are communicated in the dossier, and demonstrate unique intellectual and/or leadership contributions.

For promotion to Associate Professor with tenure, the successful candidates should have a consistent pattern of publication in high quality journals. In general, this will be 3 to 5

publications that are based primarily on research from the candidate's laboratory in well-respected journals in the field. Collaborative research is also highly encouraged. It is not advisable to publish the smallest quanta of data to enhance publication numbers. While these numbers are intended as general guidelines, it is also possible that productivity below these ranges could result in a positive promotion and tenure review if strong impact can be established for the candidate's independent research (e.g., papers in the highest impact journals may substitute for several in lower-impact journals). Emphasis will be on the quality of the work as recognized by their peers and as addressed by the external evaluators. 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 independent scholarly achievement since being appointed as an assistant professor. Overall, the number of publications required for awarding of promotion and tenure should be sufficient to document a faculty member's influence in discovery of new knowledge in their field and their ability to communicate their data effectively to the scientific community. However, the impact of these publications, rather than sheer numbers, will be the major criterion for promotion.

(3) Demonstrated Ability to Obtain and Sustain Competitive Grant Support

Funding as Principal Investigator (or Multi-Principal Investigator) on an R01 from the National Institutes of Health (NIH) or an equivalent grant (e.g., National Science Foundation, NSF or Department of Defense, DOD) is a mandatory requirement for promotion. Additionally, a candidate should demonstrate the capability to sustain funding; for example, by competitive renewal of an NIH or equivalent grant or receipt of: (i) peer-reviewed funding from other national agencies or foundations (e.g. American Heart Association, American Cancer Society, etc.), (ii) awards as co-Investigator on NIH or NSF grant, (iii) conversion of a transition grant to a federal grant as a principal investigator or (iv) funding from pharmaceutical or instrumentation companies. In addition to R01 grants, any of the latter provide a strong indicator of national reputation, but are not by themselves sufficient demonstration of the ability to obtain and sustain national support.

(4) National Reputation

Achievement of national reputation is a prerequisite for promotion to Associate Professor and awarding of tenure. Indications that the faculty member has achieved national/international recognition may include but is not limited to invited addresses, election to national offices of scientific or learned societies, awarding of fellowships from national organizations to the candidate's trainees, invitations to review grants, editorial assignments, conference participation and organization (e.g., chairing a symposium session), documented invitations for external collaborations, and invitations to contribute book chapters or reviews.

(5) Research Independence and Collaboration

It is recognized that research collaboration is important for attaining new knowledge, and is encouraged. Fruitful collaborations usually involve important and recognizable contributions from each of the collaborators. Participation in collaborative, multidisciplinary research and team science is a valued component of the dossier that demonstrates a faculty member's record of

collaborative scholarship, and includes manuscripts on which authorship is first, senior, or corresponding. Individual input of the faculty member as a middle author may also be uniquely contributory and should be clearly evident. Evidence that the candidate for promotion has been instrumental in the research and writing of publications should be provided by an annotated bibliography that indicates individual contributions to each work.

(6) Demonstrated Success in Training Graduate and Postdoctoral Scholars

Documented success in degree completion by trainees, as well as impactful student mentorship, evidenced by completion of candidacy exams, publications, fellowships, invited talks, and awards to trainees who are sponsored by the faculty member, also can contribute to the teaching component of the dossier.

(7) Entrepreneurship as a Special Form of Scholarship

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. In as much as there are no expressly defined metrics for entrepreneurship, such contributions will be analyzed flexibly. Generally, invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding, patents considered equivalent to an original peer-reviewed manuscript, licensing activities that generate revenues considered equivalent to extramural grant awards, and materials transfer activities 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.

(b) Teaching

For promotion to Associate Professor with Tenure, a faculty member is expected to have:

- provided up-to-date content at an appropriate level in each instructional situation and demonstrated continuing growth in subject matter knowledge;
- demonstrated the ability to organize and present class material effectively with logic, conviction and enthusiasm;
- demonstrated creativity in the use of various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment;
- engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process;
- provided appropriate and timely feedback to students throughout the instructional process;

- treated students with respect and courtesy;
- improved curriculum through revision or new development of courses and/or academic programs;
- served as advisor to an appropriate number of graduate students given the Department's graduate student/faculty ratio and the faculty member's area(s) of expertise;
- engaged in documentable efforts to improve teaching.

Faculty evaluation of teaching will consist of two parts: review of lecture notes, materials and handouts; and firsthand observation in the classroom. The Chair of the Department, in consultation with the relevant APT Committee composed of eligible faculty, will appoint faculty members to evaluate the classroom presentations of all untenured faculty. It is the responsibility of the Chair of the Department to ascertain that evaluations are carried out on an annual basis. Faculty attending lectures are required to submit a written report (template available) in which they evaluate the content and style of presentation. Faculty will be evaluated with regard to the organization, presentation and level of material. For those involved in online education, a faculty member will be appointed to evaluate the online course content.

(c) Service

A candidate for promotion and tenure shall also be held to a high standard of service, which includes service to the College, University, scientific community, as well as to the Department. Community service that utilizes the professional expertise of the faculty member is also relevant. Exemplars of national service include service on editorial review boards of journals, service on study sections from national granting agencies, election to offices for professional societies, and organization of national meetings or symposia.

(2) Promotion to the Rank of Professor

Promotion to the rank of Professor shall be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized internationally; and has demonstrated leadership at the national or international level. The department expects an individual ready for promotion to Professor to be a role model for less senior faculty, for students, and for the profession.

(a) Publications

Demonstration of sustained national and international recognition and impact for a coherent, thematic, and independent program of scholarship is an essential requirement for promotion to Professor. It is expected that the faculty member will have a consistent record of high-quality publications well beyond that required for promotion to Associate Professor. The publications should be in the top, peer-reviewed journals that have impact in the appropriate field(s) of study. This may be documented by data from citation analysis, as well as by reference to the comments of external evaluators. A further evaluation is the citation index of individual papers, as well as the overall citations for the body of work. Evidence that the candidate for promotion has been instrumental in the research and writing of the publications should be provided by an

annotated bibliography that indicates individual contributions to each work. The number of publications that satisfies these criteria will depend upon their quality and impact on the field. As a general guideline, within the disciplines of the Department, an average of 1-3 publications as senior author per year and 1-3 collaborative publications per year would be expected. While these numbers are intended as general guidelines, the quality and impact of the collected work is the most important criteria. Substantive review articles and books will be given consideration in addition to research peer-reviewed articles. The candidate's citation rate will be documented and verified by the Procedures Oversight Designee (POD); the dossier will contain a citation table that indicates the number of citations for individual papers published at The Ohio State University, as well as an overall career citation index.

(b) Research Funding

It is expected that candidates for promotion to Professor must have a record of significant and sustained NIH funding since their promotion to Associate Professor. The research program should be supported by multiple NIH or equivalent grants with the candidate as PI (or MPI). Funding from other national agencies or foundations as PI, as co-investigator on NIH or other national grants, or from industry, is also taken as evidence of continued productivity and contribution to the field.

(c) Research Independence, Collaboration and Mentoring

At the Professor level, a candidate must have produced a unique and independent body of research that has been developed by the candidate, and will show that the research program has benefited colleagues and students at the University and in the research community at large. Collaborations can provide evidence of mutual scientific accomplishments. Successfully mentored students and postdocs can provide evidence that training is ongoing in the context of the research program, and can also contribute to the teaching component of the dossier.

(d) Reputation as a Scholar

The candidate must be recognized as an important participant or leader in the research community. For promotion to Professor, the candidate must have played a national leadership role and attained international recognition for their research. Such evidence could include invitations to present research findings at other institutions, as well as at national and international scientific meetings, appointments to editorial boards or repeated invitations to review manuscripts or grants, appointments to national review bodies such as NIH study sections or scientific advisory boards, responsibilities as an organizer of scientific meetings, invitations to provide critical reviews of a research topic, and assignments as a consultant to government agencies and private companies. External evaluators' comments also contribute to this category.

The annual review document generated by the Chair for each faculty member at the Associate Professor level will comment on each of the above criteria with respect to progress and areas for improvement. The overlapping categories given above provide a means to organize the accomplishments of individual faculty in their evaluation for promotion. These accomplishments

should be compared to the University and Department Mission Statements in evaluating the progress of each faculty member towards the rank of Professor.

(e) Teaching and Service Excellence

A record of continuing teaching excellence as an Associate Professor is required to justify promotion to the rank of Professor. The faculty member should make new, unique and impactful contributions to the teaching mission as an Associate Professor. Evidence for exemplary teaching includes outstanding student and peer evaluations, course or workshop leadership and design, a Training Program Directorship, and teaching awards. Evidence of sustained graduate and post-graduate training as well as invited talks and the receipt of fellowships from national organizations to the candidate's trainees is also expected. Promotion to the rank of Professor also 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 since Associate Professor. Criteria might include participation in leadership positions in a national 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.

(3) Promotion of Research Faculty

Promotion for the research faculty depends on research scholarship and impact alone. The criteria for promotion are solely related to research and the criteria used are identical to those outlined above for tenure-track faculty (see sections VII.A.1.a and VII.A.2.a). Scientific independence, high quality publications, extramural grant support, and national/international reputation are primary.

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 of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#). All tenure-track candidates for promotion and tenure shall be reviewed by the eligible faculty (who constitute the APT committee) and by the Chair. (See Section III, Definitions, for a description of the eligible faculty.) Faculty members with a familial or comparable relationship with a candidate shall not participate in the review of that candidate.

The review for tenure during the final year of a probationary period is mandatory and must take place. A faculty member may ask to be considered for non-mandatory promotion and tenure review or for promotion review at any time; however, the relevant department APT committee may decline to put forth a faculty member for formal non-mandatory promotion and tenure review or promotion review if the candidate's accomplishments as given in the annual review dossier are judged by a majority vote of the APT committee not to warrant such review. Under Faculty Rule [3335-6-04](#) the APT committee may not deny a tenured faculty member a formal review for promotion more than 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

Candidates will also be reviewed at the college and university levels. The Department Chair is responsible for informing the candidate in writing of the Executive Vice President and Provost's final decision (if negative) or recommendation to the board of trustees (if positive).

Once the process starts, only the candidate may stop any review for promotion and tenure once external letters of evaluation have been sought. The candidate may withdraw from review at any stage of the process by so informing the department Chair in writing. If the review process has moved beyond the department, the Chair shall inform the Dean and the Executive Vice President and Provost, as relevant, of the candidate's withdrawal. In no case will tenure be granted subsequent to such withdrawal from the mandatory tenure review during the final probationary year.

(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 the department's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year. The APT document must be submitted when the dossier is submitted to the department.
- To review the list of potential external evaluators developed by the department chair and the relevant 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) Appointment, Promotion and Tenure Committee Responsibilities

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

- To review this document annually and to recommend proposed revisions to the faculty.

- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - 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 an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). 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.
 - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
 - Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.

- Revise the draft analysis of each case following the 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 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 relevant Appointment, 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 Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
 - To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
 - To inform each candidate in writing after completion of the department review process:
 - of the recommendations by the eligible faculty and department chair
 - of the availability for review of the written evaluations by the eligible faculty and department chair
 - of the opportunity to submit written comments on the above material, within ten 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.
1. To provide a written response to any candidate comments that warrants response for inclusion in the dossier.
 2. 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.
 3. 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 Evaluation Letters

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research appointment contract renewals and promotion reviews, and all adjunct faculty promotion reviews. A minimum of five credible and useful evaluations must be obtained.

A credible and useful evaluation:

1. Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant). External evaluators shall be nationally/internationally recognized experts in the applicant's field of research who are not former mentors, mentees, close personal friends, active collaborators, published or applied grants

together with the candidate within the past five years. 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 full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.

2. 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 are sought as are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

A list of potential evaluators is assembled by the relevant APT 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. Among the minimal five external letters, no more than one should be written by persons suggested by the candidate; the rest should be from persons suggested by the APT committee and the Chair, with two letters from each category. If more than five letters are received, Faculty Rule [3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

The department follows the Office of Academic Affairs suggested format, provided at <http://oaa.osu.edu/sampledocuments.html>, 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, or the appearance of such a lapse, in the course of the review process.

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

(6) Research Faculty

The procedures for preparation of the dossier and external letters of reference are the same for research faculty as that for the tenure-track with the exception that teaching need not be included. During the APT committee meeting to discuss the promotion package, the sponsoring faculty

mentor can introduce the candidate's package to the APT committee and address any questions they may have. To avoid any appearance of a conflict of interest, the sponsor will leave the room during committee deliberation and voting. The APT committee will forward a recommendation to the departmental Chair, who will make a final decision as to whether to approve promotion.

DOCUMENTATION

The Promotion and Tenure core dossier format approved by the Office of Academic Affairs will be used to document faculty performance.

(1) Teaching

Student evaluations of individual courses administered by someone other than a faculty member are required and shall be available for every classroom course taught. In the case of Med I teaching, the faculty evaluations supervised by the College of Medicine will be used; in the case of other coursework, it will be the standard University course evaluation forms. Faculty evaluation of teaching will consist of two parts: review of lecture notes, materials and handouts; and firsthand observation in the classroom. The Chair of the Department, in consultation with the relevant APT committee, will appoint faculty members to evaluate the classroom presentations of all untenured faculty and associate professors. It is the responsibility of the Chair of the department to ascertain that evaluations are carried out on an annual basis. Faculty attending lectures are required to submit a written report in which they evaluate the content and style of presentation. The contents of this report are discussed with faculty during the annual review process. Faculty will be evaluated in regard to the organization, presentation, and level of material, as well as student performance.

(2) Research/Scholarship

Reprints of research articles and a measure of their impact as indicated by number of citations reported in Citation Index shall be further documentation of scholarship.

(3) Service

Activities generally considered to be service include administrative work for the department, college or university; service to the profession such as leadership roles and editorial and reviewing activities. Efforts shall be made to identify indicators of the quality as well as the quantity of service roles. Service on NIH study sections or the editorial boards of high impact journal is considered to be of high quality. The quality of departmental service will be generally known. Indicators of the quality of service beyond the department and external to the University would include election or appointment to leadership roles, other evidence that the candidate's services are sought after rather than volunteered, and awards.

VIII. APPEALS OF TENURE AND PROMOTION DECISIONS

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 REVIEW

Under unusual circumstances the Department may seek a seventh year review of a candidate who was denied tenure during the mandatory sixth year review. 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. Approval to conduct a seventh year review requires approval of the Dean of the College of Medicine and the Executive Vice President and Provost. The request must contain documentation as to why such a review is merited. If the request is approved, the new review is a full review identical to sixth year review. If a negative decision is reached, the faculty member's termination date of employment is June 30 of the seventh year of service.

X. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

A Student Evaluation of Teaching

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

B Peer Evaluation of Teaching

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

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

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

- to review the teaching of probationary tenure-track faculty at least once per year during the each year of service before the commencement of the mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.

- to review the teaching of tenured associate professors at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six year period and of having at least four peer reviews of teaching before the commencement of a promotion review.
- to review the teaching of tenured professors at least once every other year with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review.
- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [University Institute for Teaching and Learning](#).

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

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the promotion and tenure chair has identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.

In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on such issues as the appropriateness of the course design given the goals and level of the course, the quality and effectiveness of the instructional materials and assessment tools, and the appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer meets with the candidate to give feedback and also submits a written report to the TIU head, 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.