

**APPOINTMENT, PROMOTION AND TENURE
CRITERIA AND PROCEDURES FOR**

THE OHIO STATE UNIVERSITY

**SCHOOL OF HEALTH AND REHABILITATION SCIENCES
COLLEGE OF MEDICINE**

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I. Preamble

This document describes the criteria and procedures regarding appointment, promotion and tenure for faculty in the School of Health and Rehabilitation Sciences, a tenure-initiating unit in the College of Medicine of The Ohio State University. This document is a supplement to Chapters 6 and 7 of the [Rules of the University Faculty](#); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs [Policies and Procedures Handbook](#); and other policies and procedures of the college and university to which the school and its faculty are subject.

In case of a change in university rules, the school will follow the new rules and policies until such time as it can update this document to reflect the changes. In case of a discrepancy between the university rule and this document, the current university rule is applied. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the school director.

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

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

Promotion to a higher academic rank and the granting of tenure are two ways in which the university recognizes the merit of outstanding contributions made by a faculty member. Promotion and tenure are based solely on merit. Each faculty member should be systematically involved in the promotion and tenure process from the first day of his/her appointment in the school, and this involvement needs to continue after promotion to a new level. Faculty members need to make themselves aware of the standards by which their performance will be evaluated and the evaluation processes in which they will be involved. Decisions about work priorities and time allocation to teaching, research and other scholarly activity, and service, should be consciously made, with the counsel of the school director.

Within the context of its mission, the school sets the goal of continuously improving the quality of its endeavors. The school, additionally, assures that its guidelines on "Faculty Duties and Responsibilities," included in its "Pattern of Administration," is consistent with the mission and its criteria for appointment, promotion, tenure, merit salary increases, and other rewards.

II. School Mission

A. Vision Statement

To shape the health and well-being of the global community.

B. Mission Statement

To empower transformative leaders in health and rehabilitation sciences through excellence in collaborative education, discovery, and service to improve the health and wellbeing of all

C. Background

As stated above, the School of Health and Rehabilitation Sciences has as its central mission the education of students for excellence in health care services. Towards this endeavor, the school maintains an environment in which research and scholarly activity inspire and inform teaching. Curricula are structured to foster learning, nurture individual growth and creativity, and support the goals of professional health care practice, administration, teaching, and research, at both the undergraduate and graduate level. Individual differences in learners are valued as the faculty promotes scholarship in all who study under their guidance.

Fundamental to the school's mission is to also engage in research and other scholarly activity that enhances the knowledge base of the health professions. This knowledge base forms a vital link in the improvement of human health, and keeps the school at the forefront of innovation in education and research in the health professions. In addition, students must be prepared to interpret these ideas and innovations so as to make them accessible to the citizens of the state of Ohio and the world. In keeping with the land-grant heritage of The Ohio State University, the school's mission, additionally, includes service to the professions, the university, and the community.

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 school.

The school director, 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 (hiring), reappointment, promotion, promotion and tenure, or contract renewal.

For faculty in a division, the division director is not an eligible faculty member for the purposes of decisions that require a vote.

The school's Committee of the Eligible Faculty comprises all of the school's eligible faculty and is a standing committee of the school. It is charged with the providing the school director with significant consultative input concerning the following areas: annual review of all probationary faculty; the promotion and tenure of current school faculty; and, review and reappointment decisions for contract renewals of clinical and research faculty. The committee also promotes awareness of promotion and

tenure procedures and standards among school faculty, especially junior faculty, and offers counsel on such matters as requested.

The chair of the school's Committee of the Eligible Faculty shall be a tenured faculty member at the rank of Professor, recommended by the members of the committee and appointed by the director of the school. The chair of the committee serves a two-year term. In the second year, a chair-elect is selected, whose term begins July 1st.

Decisions made by the Committee of the Eligible Faculty with regards to appointments, evaluation of probationary faculty, and promotions can only be made by those faculty members eligible to consider the matter based on the candidate's type of appointment and rank.

Only tenure-track, clinical, and research faculty at the rank of associate professor or above sit on the Committee of the Eligible Faculty (though please see the special exception below). Only non-probationary clinical faculty and non-probationary research faculty are members of the eligible faculty. As outlined, in university rule [3335-5-19\(B\)\(3\)](#), faculty holding associated titles (clinical practice, adjunct, visiting, and lecturer titles) may not participate in promotion and tenure reviews of tenure-track, clinical, or research faculty.

Individual faculty members can only evaluate those seeking promotion to a level at or below their rank. Faculty responsibilities are determined by their appointment type: Tenured faculty members review faculty of all appointment types, clinical faculty can only review clinical faculty, and research faculty can only review research faculty.

1. Tenure-track Faculty

a. Initial Appointment (Hiring) Reviews

- Initial recommendations for appointment (hiring) of tenure-track faculty at any rank are made by a search committee charged by the school director.
- For appointment (hiring) at senior rank (associate professor or professor), a review is performed and a vote is cast by all tenured faculty of equal or higher rank than the position requested.

b. Reappointment, Promotion, or Promotion and Tenure Reviews

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

2. Clinical Faculty

a. Initial Appointment (Hiring) Reviews

- Initial recommendations for appointment (hiring) of clinical faculty at any rank are made by a search committee charged by the school director.
- For an appointment at senior rank (clinical associate professor or professor), a review is performed and a vote cast by all tenured faculty of equal or higher rank than the position

requested, and all nonprobationary clinical faculty of equal or higher rank than the position requested.

b. *Reappointment, Contract Renewal, and Promotion Reviews*

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

3. *Research Faculty*

a. *Initial Appointment (Hiring) Reviews*

- For an appointment (hiring) review of a research assistant professor, the eligible faculty consists of all tenure-track faculty and all research faculty in the school.
- For appointment (hiring) at senior rank (research associate professor or research professor), the initial review and vote includes all tenure track and research faculty in the school. A second review and vote is performed 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.

b. *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 research 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.

4. *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 will be expected to withdraw from an appointment or promotion review of that candidate.

5. *Minimum Composition*

A minimum of three faculty members must be involved in any vote for the Committee of the Eligible Faculty. In the event the school does not have three eligible faculty members who can undertake the review, the school director, after consulting the dean, will appoint a faculty member from another TIU within the college.

B. Quorum

To vote on a matter before the Committee of the Eligible Faculty, the faculty member must be present. Face-to-face attendance is expected. Participation via conference call or video conferencing may be allowed with permission of the chair. 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 school director has approved an off-campus assignment.

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

C. Recommendations from the Committee of the Eligible Faculty

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

Absentee ballots and proxy votes are not permitted.

1. Appointment

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

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

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

IV. Appointments

The school has tenure-track, clinical and research faculty, as well as associated faculty and courtesy appointments.

All new senior faculty appointments (associate professor or professor for tenure-track, clinical, research, and associated faculty) require approval of the college and university. New senior appointments of tenure track, clinical, and research faculty require an external review of the candidate.

A. Criteria

1. Tenure-track Faculty

The School of Health and Rehabilitation Sciences, as part of a distinguished comprehensive medical center and university, is committed to the appointment of tenure-track faculty who will make significant contributions to the body of knowledge in their field of health and rehabilitation sciences through research and other scholarly activities. The individual appointed must also strive to bring the most current information into the classroom and be dedicated to the teaching-learning process. In addition, the faculty member will be expected to provide professional, university, and community

service. The whole of achievement for the school is only as great as the sum of its parts. Therefore, recognition of the potential contribution of each faculty member in moving the school forward is the basis for each appointment. 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 school. The search is either cancelled or continued, as appropriate to the circumstances.

a. *Instructor*

Appointment to the rank of instructor may be made when the candidate meets all criteria for appointment to the rank of assistant professor but has not completed the appropriate terminal degree. Candidates for appointment at rank of instructor should demonstrate potential for excellence in teaching, scholarship, and service and should be judged to have strong potential to attain tenure and advance through the ranks. The candidate shall have attained candidacy status in a terminal degree program and be making sufficient progress in his/her degree program with the expectation that it can be completed within a maximum of two years from the date of appointment.

Appointment to the rank of instructor may also be made for candidates who have a terminal degree but who do not have the requisite skills and experience to assume the full range of responsibilities of an assistant professor.

When an individual is appointed as an Instructor, the letter of offer shall indicate the specific benchmarks and accomplishments that will be necessary for promotion to Assistant Professor. 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 the rank of assistant professor, prior service credit may be granted for time spent as an instructor if the faculty member requests such credit in writing at the time of the promotion. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted. All probationary faculty members have the option to be considered for early promotion, so requesting primary service credit is not required to be promoted before the mandatory review date. Approval for prior service credit must be obtained from the school's eligible faculty, the school director, the dean of the college, and the office of academic affairs.

b. *Assistant Professor*

An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the school and the profession is expected. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. For individuals not recommended for promotion and tenure after the mandatory review, the 7th year will be the final year of employment.

Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee (or Committee of Eligible Faculty) determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may

reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

c. Associate Professor or Professor

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

1) *Associate Professor or Professor with Tenure*

A faculty candidate may be appointed at the rank of associate professor or professor with tenure in the school if he/she fulfills the above general requirements for appointments, and fulfills the school's criteria for promotion to that rank.

2) *Probationary Period for Senior Appointments*

An appointment as professor or associate professor will generally entail tenure. However, a probationary period not to exceed four years may be granted by the Office of Academic Affairs upon petition of the school and the college, 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. For example, candidates with limited teaching experience may be required to show the expected level of performance prior to receiving tenure.

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.

2. Clinical/Teaching/Practice Faculty

Faculty Rule [3335-7-01](#) states:

Clinical/teaching/practice are faculty appointments of the same type that are fixed term contract appointments that do not entail tenure. These faculty are teachers/practitioners and shall be engaged primarily in teaching activities related to: a) courses or instructional situations involving live patients or live clients, b) courses or instructional situations involving the simulation of live patients or live clients, c) courses or instructional situations involving professional skills, or d) teaching as defined in Chapter [3335-6-02\(A\)\(2\)](#) of the Administrative code.

The school designates the faculty title in this appointment type as [Faculty Rank] of Clinical Health and Rehabilitation Sciences. The school's Patterns of Administration require that clinical faculty comprise no more than forty-five percent of the total tenure-track, clinical and research faculty of the school, in accordance with Faculty Rule [3335-7-03](#). This percentage is subject to change; in case of a discrepancy, the currently approved POA for the school determines the percentage.

Clinical faculty are expected to contribute to all aspects of the school's academic mission, teaching, research, and service. Clinical faculty include those individuals who are, or are expected to be deployed primarily in clinical or professional practice-related teaching. Teaching responsibilities for

clinical faculty may include undergraduate and/or graduate teaching, advisement and student mentoring, clinical teaching, continuing professional and peer education, curriculum and course development, application of creative instructional strategies and other learning enhancements, recruitment, and honors advisement. In graduate student advising, clinical faculty may be the advisor for Masters students; clinical faculty may serve as the advisor for professional doctoral students (DPT, OTD) with permission from the graduate studies committee of the school and from the university; clinical faculty may also participate in PhD student education, but may not serve as the PhD student advisor. The individual appointed must have the appropriate clinical credentials as may be required for their profession and an earned doctorate (except for the rank of instructor) with advanced clinical experience or specialist certification. Clinical faculty must strive to bring the most current information into the clinical classroom and be dedicated to the teaching-learning process. This should be reflected by excellence in teaching ratings and development or enhancement of high quality clinical programs.

The School of Health and Rehabilitation Sciences, as part of a distinguished comprehensive medical center and university, is committed to the appointment of clinical faculty who, in addition to their clinical teaching responsibilities, will make significant contributions to the body of knowledge in their profession, science, and education, through teaching, service, research and other scholarly activities. As described in the criteria for promotion, the distinction between tenure-track and clinical faculty in the realm of research and scholarship is as follows: while tenure-track will be expected to *lead* a program of research and scholarship, clinical faculty will be expected to *contribute to* the research and scholarly productivity of the school through supporting and collaborative roles.

Clinical faculty are expected to demonstrate excellence in service to the school, the college, the university, the community and their profession. This may also include excellence in clinical service for faculty with a defined clinical role.

For all ranks in the clinical faculty, including senior appointments, the initial appointment is probationary, requiring annual review of progress by the eligible faculty. Faculty Rule [3335-7-07](#) governs the terms of appointment and clarifies that contracts must be for a period of at least three years and no more than five years. Renewal of a clinical faculty appointment is not guaranteed, even if the performance of the faculty member meets or exceeds the requirements. If renewal is approved, then a 3 – 5 year non-probationary contract is offered.

a. *Instructor of Clinical Health and Rehabilitation Sciences*

Appointment to the rank of Instructor is made if all of the criteria for the position of Assistant Professor have been met with the exception that the candidate will not have completed the terminal degree, or other relevant training, at the time of the appointment.

When an individual is appointed as an Instructor, the letter of offer shall indicate the specific benchmarks and accomplishments that will be necessary for promotion to Assistant Professor. The initial appointment for an instructor is probationary for a three year term. Individuals appointed in this rank will be eligible for mid- contract promotion to the rank of Assistant Professor of Clinical Health and Rehabilitation Sciences upon completion of the academic requirements (doctoral degree or clinical credentials) and any other conditions that were set forth in the offer letter. The appointment at the instructor rank is not renewable after this three year term.

b. Assistant Professor of Clinical Health and Rehabilitation Sciences

Appointment as Assistant Professor of Clinical Health and Rehabilitation Sciences is for persons who have an earned doctorate or other appropriate terminal degree, the relevant clinical expertise, and who are expected to be involved in clinically-related teaching and service, while making contributions to scholarship and service. The initial probationary appointment as an Assistant Professor of Clinical Health and Rehabilitation Sciences is for a 3-5 year term, and renewal appointments are for 3 to 5-year terms.

Candidates for appointment as Assistant Professor of Clinical Health and Rehabilitation Sciences will have, at a minimum:

- A record of excellence or evidence of potential for excellence in teaching
- A record of or potential to perform effective service
- Previous experience or potential for contributing to research and scholarly productivity
- Potential to advance through faculty ranks

c. Associate Professor of Clinical Health and Rehabilitation Sciences

Appointment as Associate Professor of Clinical Health and Rehabilitation Sciences is for persons who have provided clear and convincing evidence of a demonstrated record of national impact and recognition and have at a minimum:

- Exceeded the school criteria for appointment as an Assistant Professor of Clinical Health and Rehabilitation Sciences, and
- Met or exceeded the school criteria for promotion to Associate Professor of Clinical Health and Rehabilitation Sciences

The initial probationary appointment as an Associate Professor of Clinical Health and Rehabilitation Sciences is for a four-year term, and renewal appointments are for three to five-year terms.

d. Professor of Clinical Health and Rehabilitation Sciences

Appointment as Professor of Clinical Health and Rehabilitation Sciences is for persons who have provided clear and convincing evidence of a sustained record of national impact and recognition, including national leadership roles or international recognition, and have at a minimum:

- Exceeded the school criteria for appointment as an Associate Professor of Clinical Health and Rehabilitation Sciences, and
- Met or exceeded the school criteria for promotion to Professor of Clinical Health and Rehabilitation Sciences

The initial probationary appointment as a Professor of Clinical Health and Rehabilitation Sciences is for a four-year term, and renewal appointments are for three to five-year terms.

3. Research Faculty

Faculty Rule [3335-7-30](#) states:

“Research faculty appointments are fixed term contract appointments that do not entail tenure. Research faculty are researchers and shall be engaged in research related to the mission and goals of the academic unit.”

The research faculty exists for those who focus primarily on scholarship. A research faculty member may, but is not required to, participate in educational and service activities.

According to faculty rule [3335-7-34](#)

“The primary duty of research faculty is to conduct research. A research faculty member may, but is not required to, participate in limited educational activities in the area of his or her expertise. However, teaching opportunities for each research faculty member must be approved by a majority vote of the school’s 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. An appointment to a research faculty position should not be made to displace or make unnecessary an appointment to a tenure-track faculty position.”

The time allowable for activities not focused on research may depend on the nature and source of funding. The standards for scholarly achievement are similar to those for individuals on the Tenure-track for each faculty rank. Research faculty members are expected to contribute to the school’s research mission and are expected to demonstrate excellence in scholarship as reflected by high quality peer-reviewed publications and successful attainment of nationally competitive peer-reviewed funding.

Appointments to the Research faculty are made in accordance with the *University Faculty Rule* [3335-7-32](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the school. Unless otherwise authorized by a majority vote of the tenure track faculty in the school, research faculty must comprise no more than twenty per cent of the number of tenure-track faculty in the school. In all cases, however, the number of research faculty positions in a unit must constitute a minority with respect to the number of tenure-track faculty in the school.

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

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

a. *Research Assistant Professor*

The requirements for appointment as a Research Assistant Professor include that the candidate has provided clear and convincing evidence of impact and recognition at local or regional level, and has, at a minimum:

- An earned doctorate or other terminal degree in the relevant field of study, or possession of equivalent experience.
- An initial record of excellence in scholarship as demonstrated by having begun to develop a body of research, scholarship, and creative work, and initial evidence of program of research as reflected by first or senior author publications or multiple co- authorships and existing or strong likelihood of extramural research funding as one of several program directors or principal investigators on network-type or center grants (multiple-PD/PI) or as a co-investigator on multiple grants.
- A mindset and record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors. Strong potential for career progression and advancement through the faculty ranks.

b. *Research Associate Professor or Research Professor*

The criteria for initial appointment to the rank of Research Associate Professor or Research Professor are identical to those criteria for promotion to these ranks as outlined in this document.

4. *Associated Faculty*

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

The associated faculty is comprised of all persons with an adjunct title (i.e., Adjunct Professor, Adjunct Associate Professor, Adjunct Assistant Professor, Adjunct Instructor); clinical practice title; visiting title; lecturer/senior lecturer title; and tenure-track faculty of any rank with less than 50% appointments at the university. Members of the associated faculty provide vital contributions to the school, but their responsibilities to the academic units are not as extensive as those of the tenure-track, clinical, or research faculty. Associated faculty may teach in the classroom setting or provide supervision during practica or fieldwork.

Appointees to the associated faculty may be accorded some faculty privileges, but do not accrue or hold tenure and persons holding associated titles do not participate in the promotion and tenure reviews of tenure-track, clinical, or research faculty. They may participate in school governance where approved by a majority vote of all tenure track faculty. Associated faculty may be salaried or non-salaried positions. Associated faculty appointments usually can be renewed.

a. *Lecturer, Senior Lecturer, or Visiting Faculty*

- Appointment as a Lecturer is for persons who have the appropriate experience and training in their field to teach specific course content. These individuals may or may not hold a terminal degree in their field.

- Appointment as a Senior Lecturer is for individuals who have substantial accomplishments, experience and training in their field to teach specific course content, as well as experience and demonstrated excellence teaching in higher education. Senior lecturers are expected to hold a terminal degree or advanced clinical credentials (beyond entry level) in their field.
- Visiting Faculty will be considered for a term appointment at the same rank held at their home institution. The rank will require credentials and accomplishments similar to those required in the tenure track in the school.

b. *Clinical Instructor of Practice*

- Appointment as Clinical Instructor of Practice is for persons who have professional credentials in their field, including certification, registration and/or licensure in a professional area where appropriate, but who do not have a terminal degree. A minimum of two years' experience in professional practice is expected. Clinical instructors of practice are expected to be primarily engaged in clinically-related teaching, precepting, student supervision, and service.
- All clinical practice faculty are expected to maintain high standards of professional performance and practice as a patient care provider or practitioner and/or educator and serve as a role model for students. In some cases, participation in scholarly activities may be required; if so, this will be stipulated in the contract.
- All clinical practice faculty should have demonstrated the ability to teach students effectively prior to appointment. The expectation is at least one semester of teaching experience in their profession, or active contribution to education through activities such as supervision of students in the clinic, curriculum planning/development, team teaching, membership on divisional committees, or recruitment of students.

c. *Clinical Assistant Professor of Practice*

- Meets or exceeds the criteria for appointment as a Clinical Instructor of Practice.
- Has earned a terminal degree (e.g., doctorate) in their field.

d. *Clinical Associate Professor of Practice*

- Meets or exceeds criteria for rank of Clinical Assistant Professor of Practice
- Demonstrated excellence as an educator
- Demonstrates a national reputation for excellence in their professional activities through accomplishments such as publications, professional service, or education.

e. *Clinical Professor of Practice*

- Meets or exceeds criteria for rank of Clinical Associate Professor of Practice
- Demonstrates a national or international reputation for leadership and excellence in their professional activities through accomplishments such as publications, professional service, or education.

5. Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule 3335-5-36. Full-time tenure track, clinical/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 school director outlining academic performance and citizenship. The Committee of Eligible faculty (tenured faculty and nonprobationary clinical associate professors and professors) will review the application and make a recommendation to the school director. The school director will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule 3335-05-04, emeritus status will not be considered.

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

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

6. Courtesy Appointments for Faculty

Courtesy appointments (non-salaried, joint appointments) in the school are made for faculty members with primary appointments in other departments or colleges at The Ohio State University, who teach students, perform collaborative research with faculty whose primary appointment is in the school, or contribute administrative or other expertise which is beneficial to the school. The rank of the courtesy appointment in the school must be consistent with the rank of the primary appointment. To qualify for the courtesy appointment, the candidate must fulfill the criteria of the school for appointment to the proposed rank. The primary tenure initiating unit (TIU) is responsible for the professional development and evaluation of the faculty member.

B. Procedures

1. Tenure-track Faculty

a. Initial Appointment

A search for tenure-track faculty is conducted nationally in accordance with the rules of The Ohio State University. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Prior to the search, permission must be provided by the college dean to the school director to begin the search. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The school director appoints a search committee made up of at least three faculty. The search committee is formed in consultation with the division director for faculty who will be in a division. The search committee is formed in consultation with the school's executive committee for faculty who will have school-wide duties (e.g., associate director of the school). The chair of the search committee is appointed by the school director.

Vigorous efforts are made to ensure a diverse pool of highly qualified candidates. A member of the search committee is specifically identified as the diversity advocate. Search procedures must entail

substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#). 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 develops a search announcement for internal posting in the university Job Postings through the [Office of Human Resources](#) and external advertising, subject to the school director's approval, in appropriate national publications. 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.

The search committee 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 professional journal.

The search committee screens applications and letters of recommendation and presents to the school director and, for faculty positions in a division, the division director, a summary of those applicants (usually three to five) judged worthy of interview. After consultation, the school director selects the candidates to be interviewed. Interview arrangements are overseen by the search committee chair, with detailed scheduling and arrangements for the interview made in a standard manner by staff in the school's administrative office.

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the school director and associate directors; and the dean or designee. For faculty positions in a division, the candidate will meet with the division director and with students and faculty from that division. Where indicated, potential faculty or clinical collaborators outside the school may be added to the interview. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship, and may teach a class. The latter could be an actual class or a mock instructional situation. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the eligible faculty as well as other individuals who saw the research presentation or participated in the interview are asked to provide feedback on the candidate. The search committee meets to discuss perceptions and preferences, and to rank the candidates. The search committee reports a recommendation on each candidate to the school director along with the rankings.

If the offer involves senior rank, the committee of the eligible faculty must vote on the proposed rank. If the offer may involve prior service credit, the committee of the eligible faculty must vote on the

appropriateness of such credit. The school director submits a request to the eligible faculty including a cover letter detailing the rank sought and prior service credit, if requested, along with the candidate's cv. The eligible faculty reviews the request and votes on the rank, and if indicated, on the request for prior service credit. The committee's vote and recommendations are provided to the school director. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

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

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

This national search requirement applies at the time of initial appointment, which may result in an appointment at the rank of instructor. In this case, the national search criterion has been satisfied and a new search is not required at the time of promotion to assistant professor.

2. Clinical Faculty

The same procedures described above for tenure-track faculty are followed for clinical faculty, with two exceptions. First, the presentation of the clinical faculty member may be centered around their approach to and experiences with professional practice; or, it may focus on their scholarship. Second, the exception to a national search only requires permission from the college dean (not from OAA).

3. Research Faculty

Searches for initial appointments in the research faculty should follow the same procedures as those utilized by the school for tenure-track faculty, with the exception that demonstrated experience or potential for excellence in teaching is not an expectation. The exception to a national search only requires permission from the college dean (not from OAA).

4. Transfer from the Tenure-track

Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the school director, the college dean, and the executive vice president and provost.

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

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

5. Associated Faculty

Associated faculty are recruited by the faculty in a division or program. Candidates submit their credentials to the division or program director who, in turn, writes a letter to the school director requesting the appointment and indicating the desired rank and expected role to be filled by the associated faculty member. The request must be accompanied by a curriculum vita.

Appointments at these ranks are based on the expectation of a substantial contribution to the school.

All initial associated faculty appointments for rank as a clinical [rank] professor of practice or visiting [rank] professor must be forwarded by the school director to the Committee of the Eligible Faculty for review, evaluation, and vote. Consideration of these appointments by the Committee of the Eligible Faculty does not require a face-to-face meeting. Committee of the Eligible Faculty members shall individually evaluate the supporting documentation in electronic or other formats and shall independently vote by email or in person to the Committee of the Eligible Faculty chair. Based on the vote of the Committee of the Eligible Faculty, the chair of the Committee of the Eligible Faculty sends a written recommendation to the school director. New associated faculty appointments must be submitted to the college for approval. Senior appointments (associate professor or professor) require approval from the college and university.

Appointments of lecturers and senior lecturers do not require review by the Committee of the Eligible Faculty.

Associated faculty appointments are usually for 1 to 3 years. In years after the initial associated faculty appointment, the decision to reappoint at the same rank is made at the administrative level and does require approval of the Committee of the Eligible Faculty.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for clinical faculty, with the exception that the review does not proceed to the college level if the school director's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

6. Courtesy Appointments for Faculty

a. Initiation of Courtesy Faculty Appointments

Faculty in other university departments who make a substantial contribution to the school may be offered a non-salaried courtesy appointment in the school. If the courtesy appointment is specific to a division or program, then the request must come from the division or program director. If the candidate accepts the nomination, the candidate submits his/her credentials, and the division or program director provides a written nomination to the school director requesting the appointment and indicating the faculty rank and the expected role to be filled by the faculty member. The request must be accompanied by a curriculum vita. The school director forwards the request to the Committee of the Eligible Faculty for review and evaluation.

The procedures for review of courtesy faculty appointments follow those for associated faculty appointments. The chair of the Committee of the Eligible Faculty sends a written recommendation

to the school director. If the proposal is approved, the school director extends the offer to the candidate.

The school director 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

1. General Procedures Common Across Appointments

All units within the College of Medicine are required to conduct an annual review of all faculty. School procedures are consistent with those of the College of Medicine guidelines and include the following for all tenure-track, research and clinical faculty members with primary faculty appointments in the school:

- Annual reviews are the responsibility of the school director.
- Annual reviews will be based on the previous calendar year.
- An abbreviated initial review of first year faculty for purposes of merit is conducted by the school director and considers performance since date of hire. See the merit review section.
- Current faculty curriculum vitae or dossiers are to be maintained in an accessible location in the school where any faculty member can review them.
- A face-to-face meeting is required annually between the school director and each faculty member. For faculty in a division, the division director also participates in this meeting.
- The review culminates in a letter or other written report by the school director that must include:
 - A summary of the strengths and weaknesses in the faculty member's performance.
 - For probationary faculty, a decision to reappoint a faculty member to another probationary year or to terminate the probationary appointment subject to relevant standards of notice (see Faculty Rule [3335-6-08](#)).
 - Advice for improvement and discussion of goals for the future and expectations and plans for professional development.
 - A statement informing the faculty member of the right to review his/her primary personnel file and to include a written comment on any material in the file.
- The annual review should be aimed at the following objectives:
 - Assist faculty in improving professional productivity through candid and constructive feedback and through the creation of professional development plans.
 - Establish the goals against which faculty performance will be assessed in the foreseeable future.
 - Document faculty performance in order to determine salary increases and other resources allocations, progress toward promotion, and in the event of poor performance, the need for remedial steps.

2. Review Schedules in the School

The school conducts annual reviews for tenure-track, clinical, and research faculty on one of two general schedules, a Fall Review, and a Spring Review, as detailed below.

a. Fall Reviews

Fall reviews involve annual reviews of probationary faculty, as well as decisions about promotion, tenure, or first reappointment (described later), and always include consideration of the case by the Committee of the Eligible Faculty based on the criteria set forth in this document.

1) *Which faculty are reviewed in the Fall Review?*

Fall reviews are required for all probationary faculty (this is also when the committee reviews first reappointment of clinical or research faculty, the fourth and sixth year review for tenure track faculty, and cases for promotion for all faculty).

2) *When does the review take place?*

Autumn Semester, unless it is the first year of appointment, in which case an initial evaluation takes place as a Spring Review for determination of merit in time for the next budget year.

3) *What time period is being reviewed?*

The previous academic year – autumn through summer semester of the previous year. In the first year of appointment, time since hire is considered.

4) *What type of documentation should be prepared by faculty for submission?*

A full dossier consisting of productivity in the current rank at Ohio State using the OAA core of the dossier outline, including required supplemental materials (teaching evaluations, annual letters, etc.).

5) *To whom and when is the documentation submitted?*

The full dossier is due to the division director on the first business day on or after August 1st for review and feedback. The complete dossier is due to school director on the first business day on or after September 1.

6) *What Committee of the Eligible Faculty action is required?*

The Committee of the Eligible Faculty reviews each record and develops a written summary evaluation of the candidate's progress based on the AP&T criteria document of the school. The chair of the committee forwards the summary to the school director.

In non-mandatory years for probationary faculty, the committee may consider a motion to end the appointment in cases where there is substantial evidence that the candidate cannot succeed; in such cases, the fourth year review process must be followed.

7) *What division director action is required?*

The division director (or alternate from the executive committee for division directors) reviews the dossier and provides written feedback for improvement of the dossier. Dossiers submitted after the August deadline may not be reviewed by the division director; the September 1 deadline to the school still applies.

During annual reviews of probationary faculty in their division, division directors participate in the annual review in order to clarify the record as needed and to understand the views of the committee in order to provide appropriate guidance to the probationary faculty member.

8) *What school director action is required?*

During annual reviews of probationary faculty who are division director or who have school-wide appointments not in a division, the school director may participate in the annual review in order to clarify the record as needed and to understand the views of the committee in order to provide appropriate guidance to the probationary faculty member.

When the Committee of the Eligible Faculty has completed its work and sent the case to the school director, the school director reviews the appropriate materials, prepares a summary evaluation, and meets face-to-face with the faculty member (along with the division director for faculty in a division) to present the evaluation. Based on this meeting, a detailed letter of evaluation is written, including a recommendation whether to continue the appointment, reappoint, or promote, as the case may be. This letter is sent to the faculty member being reviewed and, where applicable, a copy is sent to the division director.

In the event of a negative review and a recommendation for non-renewal of a probationary tenure track faculty member in a non-mandatory year, the fourth year review process must be followed.

If the recommendation of the school director does not match that of the Committee of the Eligible Faculty, the school director is required by the university to meet with the committee to explain the decision.

9) *How is the annual evaluation documented?*

The letter from the school director and comments from the candidate, if provided, are part of the permanent employee record and are included in the dossier.

b. Spring Review

1) *Which faculty are reviewed in the Spring Review?*

The Spring Review is used for all faculty (tenure track, clinical, and research) who are not in their probationary period and who are not seeking promotion. This includes reappointment of clinical faculty who have already been reappointed once before and who are not seeking promotion.

2) *When does the review take place?*

Spring Semester

3) *What time period is being reviewed?*

The year since the previous annual evaluation

4) *What type of documentation should be prepared by faculty for submission?*

For faculty below the rank of Professor, a full dossier is submitted consisting of productivity in the current rank at Ohio State using the OAA core of the dossier outline, including required supplemental materials (teaching evaluations, annual letters, etc). For faculty at the rank of Professor, an abbreviated dossier consisting of productivity from the preceding calendar year is submitted, including additional documentation to clarify accomplishments as required.

5) *To whom and when is the documentation submitted?*

Due to the school director on by a deadline set by the school director, typically or about March 15.

6) *What Committee of the Eligible Faculty action is required?*

None

7) *What division director action is required?*

Upon request, the division director shall provide written feedback to the candidate on the documentation to be submitted to the school director, if the documentation and request are provided at least two weeks in advance of the deadline for submission to the school.

8) *What school director action is required?*

The school director reviews the appropriate materials, prepares a summary evaluation, and meets face-to-face with the faculty member (along with the division director for faculty in a division) to present the evaluation. The annual review of assistant and associate professors is based on their duties as assigned and their progress towards promotion. 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 school, 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 school, 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.

Based on this meeting, a detailed letter of evaluation is written. This letter is sent to the faculty member being reviewed and, where applicable, a copy is sent to the division director. The faculty member is allowed to provide written comments to accompany the school director's letter for inclusion in the dossier.

9) *How is the annual evaluation documented?*

The letter from school director and comments from the candidate, if provided, are part of the permanent employee record and are included in the dossier for tenure and/or promotion.

B. Probationary Tenure-track Faculty

Probationary tenure track faculty in the school are reviewed according to the fall schedule.

Faculty Rule [3335-6-03\(C\)](#) covers the rules for annual review of tenure-track faculty during the probationary period, including the fourth year review. The following key points are restated from that rule with text appropriate to the school and this document.

- (1) At the time of appointment, probationary tenure-track faculty members shall be provided with all pertinent documents detailing school, college, and university promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary tenure-track faculty members shall be provided with copies of the revised documents."

(2) During a probationary period a tenure-track faculty member shall be reviewed annually in accordance with this rule and with policies of the school, college and university. The annual review shall follow the procedures set forth above under Section V of this document. The school director shall inform probationary faculty members at the time of initial appointment, and in a timely fashion each year thereafter, when the annual review will take place and provide a copy of the Office of Academic Affairs dossier outline to be completed by the faculty member in reporting accomplishments to date.

If the school director recommends renewal of the appointment, this recommendation is final. A recommendation from the school director to not reappoint the faculty member to another probationary year requires a review that follows fourth year review procedures (see section V.A.2.) and the dean shall make the final decision in the matter.

All annual review letters to date shall become a part of a faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure.

(3) When probationary tenure-track faculty receive their annual review, the school director shall inform them of their right to review their primary personnel file maintained by the school 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\(C\)\(8\)](#)).

1. Fourth-Year Review

The fourth year review follows the fall schedule in the school.

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

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

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

The eligible faculty forwards a record of the vote and a written performance review to the school director, who conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the school 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 school director recommends renewal or nonrenewal.

2. Exclusion of Time from Probationary Period

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

C. Tenured Faculty

1. Procedures for the Annual Review of Tenured Faculty NOT Seeking Promotion in the Following Year

Tenured faculty not seeking promotion follow the procedures for the Spring Review.

2. Procedures for the Annual Review of Tenured Faculty Seeking Promotion in the Current Cycle

Tenured faculty seeking promotion follow the procedures for the Fall Review. External letters of evaluation are required for promotion. A pre-promotion review is performed in the spring by the Committee of the Eligible Faculty, as described in the section on Promotion and Tenure and Promotion Reviews.

D. Clinical Faculty

1. Procedures for the Annual Review of Clinical Faculty during the Probationary Period

Clinical faculty at any rank during the probationary period follow the schedule and procedures for the Fall Review.

2. Procedures for the Annual Review of Clinical Faculty who are Not Seeking Promotion and who are Not Under the Probationary Period

Clinical faculty who have been reappointed at least once and who are not seeking promotion follow the schedule and procedures for the Spring Review.

3. Procedures for the Annual Review of Clinical Faculty Being Considered for Promotion

Clinical faculty who are seeking promotion follow the schedule and procedures for the Fall Review. External letters of evaluation are required for promotion of clinical faculty. A pre-promotion review is performed in the spring by the Committee of the Eligible Faculty, as described in the section on Promotion and Tenure and Promotion Reviews.

4. Initial Reappointment at the End of the Probationary Period

At the end of the year preceding the penultimate year of the probationary period, the school director decides whether or not to recommend reappointment to the Committee of the Eligible Faculty and shall notify the faculty member in writing of the decision. There is no presumption that a new contract will be extended. If the decision is not to recommend reappointment, the final year of the probationary contract shall be the final year of employment.

If the decision of the school director is to recommend reappointment, the decision must be reviewed by the Committee of the Eligible Faculty during the penultimate year of the probationary contract.

For initial reappointment of clinical faculty in the school, the exact same procedures followed for promotion of tenure-track faculty will be followed, with the following exceptions:

- For reappointment without promotion, criteria at the current rank will be applied, with expectations for productivity commensurate with the time in rank and the time allotted for teaching, scholarship, and service.
- The result of a positive initial reappointment decision for clinical faculty from the school will be reviewed by the college dean and at the university levels.
- If the initial reappointment or promotion is approved at all levels, the result is the offering of a 3-5 year contract, not the award of tenure.
- If the initial reappointment is not approved, the final year of the probationary contract is the terminal year of employment.

5. Subsequent Reappointments at Rank After the Probationary Period

Decisions for reappointments at rank after the initial probationary period for clinical faculty are made administratively and are not reviewed by the committee of the eligible faculty.

E. Research Faculty

1. Procedures for the Annual Review of Research Faculty during the Probationary Period

Research faculty who are in their probationary period (their first contract period) follow the schedule and procedures for the Fall Review.

2. Procedures for the Annual Review of Research Faculty who are Not Seeking Promotion and who are Not Under the Probationary Period

Research faculty who have already been reappointed and are not seeking promotion follow the schedule and procedures for the Spring Review.

3. Procedures for the Annual Review of Research Faculty Being Considered for Promotion or Reappointment

Research faculty who are seeking promotion follow the schedule and procedures for fall reviews. External letters of evaluation are required for promotion of research faculty. A pre-promotion review is performed in the spring by the Committee of the Eligible Faculty, as described in the section on Promotion and Tenure and Promotion Reviews.

4. Initial Reappointment at the End of the Probationary Period

At the end of the year preceding the penultimate year of the probationary period, the school director decides whether or not to recommend reappointment to the Committee of the Eligible Faculty and shall notify the faculty member in writing of the decision. There is no presumption that a new contract will be extended. If the decision is not to recommend reappointment, the final year of the probationary contract shall be the final year of employment.

If the decision of the school director is to recommend reappointment, the decision must be reviewed by the Committee of the Eligible Faculty during the penultimate year of the probationary contract.

For initial reappointment of research faculty in the school, the exact same procedures followed for promotion of tenure-track faculty will be followed, with the following exceptions:

- For reappointment without promotion, criteria at the current rank will be applied, with expectations for productivity commensurate with the time in rank and the time allotted for research and service.
- The result of a positive initial reappointment decision for research faculty from the school will be reviewed by the college dean and at the university levels.
- If the initial reappointment or promotion is approved at all levels, the result is the offering of a 3-5 year contract, not the award of tenure.
- If the initial reappointment is not approved, the final year of the probationary contract is the terminal year of employment.

5. Subsequent Reappointments at Rank After the Probationary Period

Decisions for reappointments at rank after the initial probationary period for research faculty are made administratively and are not reviewed by the committee of the eligible faculty.

F. Associated Faculty

1. Associated Faculty who are Compensated and Eligible for Multiyear Contracts

Associated faculty at the rank of Assistant Professor or higher are eligible for 1-3 year contracts. There is no presumption that such contracts will be renewed. If the position will not continue, the faculty member should be so informed, subject to the following standards of notice:

- Not later than March 1st of the 1st academic year of service, if the appointment expires at the end of that year; or if a one-year appointment expires during the academic year, at least three months in advance of its expiration;
- Not later than December 15th of the 2nd academic year of service, if the appointment expires at the end of that year; or if an appointment expires during the second academic year, at least six months in advance of its expiration; and
- No later than October 15th of the final year of a three-year appointment.

There must be at least one annual review on the record for an associated faculty member to be reappointed to a new contract.

a. Annual Reviews for Associated Faculty

Associated faculty who have titles eligible for multiyear contracts and who are compensated for their work in the school are reviewed annually in their division by their division director through a process similar to that used for the spring review with criteria based on those for the clinical faculty.

Associated faculty submit a CV and supporting documentation, including evaluations of teaching for the current contract period, to their division director by a deadline set by the division director, typically on or about April 15th.

The division director reviews the associated faculty member's accomplishments and prepares a summary evaluation. The division director meets with the faculty member to discuss his or her performance, future plans, and goals. A written letter of evaluation informed by that meeting is provided to the associated faculty member by June 1, and a copy of this letter is provided to the school's Director of Academic Affairs. The associated faculty member may provide written

comments to the annual review letter within 10 business days of receipt. The annual review is used as a basis for merit increase and to decide whether to extend an offer for a new contract.

The division director will offer a recommendation as to whether or not to renew the contract of an associated faculty to the school director. If the school director's decision differs from that of the division director, the school director shall meet with the division director to explain the decision. The school director's decision is final.

G. Salary Recommendations

The school director makes annual salary recommendations to the dean, who may modify them. The recommendations are based on the current annual performance and merit review as described in the section (Section V) above. Performance and merit reviews of the preceding 24 months may also be considered.

Faculty reviewed in the Fall Review and faculty in their first year of appointment may submit an updated dossier in the spring at the same time as the materials for the Spring Review are due in order to have their most recent accomplishments considered. Faculty who are in their first year may submit a cv instead of a dossier.

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

Faculty members who wish to discuss dissatisfaction with their salary increase with the school director 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.

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

VI. Promotion and Tenure and Promotion Reviews

A. Criteria

Tenure is regarded as recognition of the accomplishments of the faculty member and an indicator of trust in the potential contributions that the faculty member will make throughout his/her academic life. Thus, tenure is not to be thought of merely as a reward for past work.

Faculty Rule [3335-6-02\(D\)](#) states:

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

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

1. Promotion from Assistant Professor to Associate Professor with Tenure

Faculty Rule [3335-6-02\(B\)](#) clarifies that no faculty member attains tenure automatically and that tenure will not be awarded below the rank of associate professor.

Faculty Rule [3335-6-02\(C\)](#) states:

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

Criteria for promotion are outlined in three categories: teaching, scholarship, and service.

a. Teaching

Each faculty member is expected to effectively engage students in a positive learning experience both at the undergraduate and graduate level. Instructional activities include teaching assigned courses and independent studies, supervising clinical experiences, and research or teaching practica, advising students, and serving on student-related committees. Most courses in the school are only taught once a year, thus faculty are usually expected to prepare and teach course work dealing with widely divergent topics. With the constant changes in health care and technology, these courses require annual revision and updating.

Excellence in teaching is required. Some characteristics of teaching excellence are creativity, innovation, responsiveness to students, content relevance, and peer recognition. Evidence to support the quality of instruction should be broad-based, comprehensive, and systematic. The following criteria constitute accomplishments characteristic of individuals worthy of promotion to associate professor with tenure.

1) Required Teaching Criteria

1. Teach assigned courses, including annual updating of course content.
2. Serve assigned roles in supervising and mentoring students (e.g., advising, serving as a member of thesis, dissertation or examination committees)
3. Demonstrate excellence in teaching as evaluated by peers, students, administrators, consultants, and others as deemed appropriate.

2) Criteria for Excellence in Teaching

All faculty must provide some evidence of excellence in teaching. The dossier must reflect a systematic process of teaching/learning evaluation to produce excellence in all teaching activities. Excellence can be defined by a broad range of measures, including student ratings, peer

evaluations, increased efficiency and/or effectiveness, meeting the needs of diverse student populations, novel curricular offerings, and/or increased access. External evaluations of teaching, including evaluation of course materials, will be permitted only when formally requested and arranged by the division director or school director. Formal awards for teaching or educational excellence are recognized. Continuing education lectures at state and national meetings, invited presentations or peer reviewed presentations of an educational nature, scholarship in teaching, educational training grants, and authoring of books and book chapters relevant to education are all evidence of excellence in teaching.

b. Research and Scholarship

In the text below, the terms research and scholarship are used interchangeably.

In keeping with the vision and mission of The Ohio State University, all tenure-track faculty must conduct research, including scholarly writing and publication, as a condition for promotion and tenure. Research and other scholarly works establish the faculty member as an expert in his/her discipline. Such activity leads to the generation and dissemination of new knowledge, improved methodologies, program developments, or other advances in professional practice. Scholarly work may take place in classroom, clinic, community, laboratory, library, or other setting.

Scholarly work may be quantitative or qualitative in nature.

The faculty member's scholarly work must be of high quality, independent, significant, and original. The body of scholarship must be organized around a central theme or focus, and must be of sufficient quality and quantity to be recognized as making a significant contribution to that area of study.

Recognition of the ability to pursue or direct an independent program of inquiry does not diminish the high value placed on collaborative scholarly efforts within the school or in concert with other cooperating faculty or facilities. In collaborative endeavors, the degree of the faculty member's contributions shall be identified and must reflect qualities of leadership and significance. High impact publications in which faculty members have participated as a member of a broader team-based approach to manuscript development and publication shall also be recognized as evidence of scholarship, especially when specific roles in team scholarship demonstrate unique or leadership contributions. Evidence of ongoing, continuous development of research ability and reputation is reflected by the following criteria:

1) Required Scholarship Criteria

1. Provide evidence that the faculty member leads a focused, thematic area of research or scholarship with demonstration of national impact and recognition.
2. Actively seek and demonstrate success in obtaining internal and/or external funding for their program of scholarship that provides salary support consistent with the letter of offer and is sustained over time. Attaining a priority score or other indicator of quality in a grant submitted may be considered in lieu of funding when the dossier clearly demonstrates that the candidate's publication record and other evidence of excellence in scholarship has produced a growing national reputation.

3. Demonstrate a sustained publication record in peer-reviewed journals, including a substantial proportion as first or senior author, based on scholarship conducted while a faculty member in the school.

All faculty must provide evidence of excellence and a developing national reputation in research and scholarship. Faculty are expected to have about 12-14 peer reviewed publications since appointment as an assistant professor. Evidence of leadership (e.g., first or senior author), is expected for the majority of the publications as an assistant professor, and most should be in the candidate's identified area(s) of scholarly focus. The H-index or comparable metric as well as the impact factors and rankings of the journals and the number of citations from the published works will be evaluated. Being a major author or editor of books or chapters in the area of scholarship is also valued. Entrepreneurial accomplishments linked to the scholarly focus such as invention disclosures and similar reports are considered scholarship.

There should be a consistent record of research based presentations and abstracts accepted at national professional meetings. Invited national presentations are highly valued, as are formal awards for research (e.g., "best paper," school or professional association research awards, etc.). Ad-hoc service as an invited reviewer of grants or manuscripts is expected. Service as a member of a standing national panel for reviewing of grants or being a member of an editorial board is highly valued as an indication of recognition as a scholar.

The candidate must demonstrate that the line of research is sustainable. A role as a PI on 1-2 peer-reviewed nationally competitive extramural grants that support the productivity of the independent researcher across multiple years is expected. Submitted nationally competitive grants that are scored well with the opportunity to resubmit but not funded may be considered in the context of the current funding climate. Service as a PI on industry contracts, or in a leadership role as a co-investigator is also valued. Patented products or a leadership role on a nationally competitive training grant focused on research training is also considered evidence of excellence.

The candidate must demonstrate a high degree of ethics in the conduct of research and scholarship including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

c. Service

Faculty are expected to actively participate in academic and professional service. Successful candidates for promotion to associate professor with tenure shall serve on divisional and school committees and shall participate in other activities in support of the missions of the divisions and the school. This basic level of required service may be enhanced by such things as serving on college and university committees, advising student organizations, or organizing symposia and programs.

The faculty member shall participate in activities at the state, and/or national level, and promote academic rigor by serving as a manuscript and/or abstract reviewer or by engaging in similar activity(ies) in support of his/her profession. This basic level of expected service may be enhanced by other service at the national or international level, such as elected or appointed office, participation in program planning, professional consultation, leadership or consultation for improved patient care, or involvement in accreditation and credentialing activities. National service such as committee membership/leadership, service on an editorial board for a peer-reviewed journal, or

service on a review panel for a national funding agency are indicators of national reputation and are an expectation for promotion with tenure.

Faculty may also provide service within the community as members or leaders in various organizations, by participating in volunteer activities, or through engagement in other ways that make a positive professional contribution.

2. Promotion to Professor

a. General Principles for Promotion to Professor

According to Faculty Rule [3335-6-02\(C\)](#), promotion to the rank of professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching, has produced a significant body of scholarship that is recognized nationally or internationally, and has demonstrated leadership in service.

In addition, as further specified by Faculty Rule [3335-6-02](#), assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another. Promotion should reflect the reality that (a) not all faculty members have the same distribution of assignments (b) not all faculty members will be able to contribute excellence equally in all evaluation dimensions; and (c) there is a multi-faceted institutional responsibility that must be achieved by the skills of the faculty collectively. Promotion to professor should be awarded not only to those faculty who have demonstrated impact in their scholarship of research and creative inquiry, teaching and learning, and service, but also to those who have exhibited excellence in the scholarship of leadership to make visible and demonstrable impact upon the mission of the school, college, or university, or a senior leadership role in their profession (e.g., high level executive officer of their professional association).

For teaching, scholarship, and service, the same categories of activities listed as required for the associate professor apply for the promotion to professor. Likewise, the same types of activities can be listed as evidence of excellence for both. For promotion to professor, the whole career will be assessed. The expectation is that the level of accomplishment will be consistent during the period after promotion to associate professor, such that productivity will have been sustained or increased since that promotion. In addition to the overarching principle that a significant national or international record of leadership or impact must be demonstrated for the rank of professor, the following specific criteria apply.

b. Specific Criteria for Promotion to Professor

1) Teaching

For teaching, all criteria for associate professor apply. In addition, the professor is expected to demonstrate excellence in post-professional graduate teaching as thesis or dissertation advisor as indicated by noteworthy accomplishments of the trainees. Teaching excellence may be demonstrated through leadership in course, curriculum, or program development. Teaching excellence for professors should be recognized beyond the school, such as invited teaching for other departments or colleges, or at the national or international level. Formal awards for teaching, especially at the national or international level, are highly valued. National or international impact

can be demonstrated by leadership on educational training grants, by contributing to the development of national education standards, and through authorship on major books or book chapters.

2) *Research and Scholarship*

For research and scholarship, all criteria for associate professor apply. The professor must continue to demonstrate a sustained record of peer-reviewed, nationally competitive funding for the program of scholarship that is active at the time of promotion. There must be a sustained record of publication of peer-reviewed scholarship (an additional 12-14 since promotion), with a substantial portion as first or senior author, in leading national or international journals.

Entrepreneurial accomplishments linked to the scholarly focus such as invention disclosures and similar reports are forms of scholarship. National or international reputation can be demonstrated by awards, invitations to present research, leadership of grant review panels, service as an associate or senior editor for a well-regarded journal in the field, or other activities that demonstrate national leadership or international reputation as a scholar.

3) *Service*

There should be evidence of leadership at the national level or beyond. Examples include elected or appointed offices for national or international professional societies. As mentioned above for research, leadership can also be linked to the scholarly reputation through service as associate or senior editor of a journal or through a leadership role on a national or international granting agency.

Professors are expected to show some leadership outside the school, including service on college or university committees, task forces, or councils. Senior leadership roles in or beyond the school for program planning, program accreditation or program outcome assessment are also service activities valued for promotion to professor. Service may also include leadership roles in outreach and service grants and/or service to promote diversity, leadership in patient care or consultation, and leadership in student service organizations.

3. Promotion of Clinical Faculty

The school recognizes that the APT document for the college specifies the potential to recognize excellence in clinical practice in lieu of scholarship for clinical faculty members who have at least 90% effort dedicated to clinical practice. In case any individual clinical faculty member's contract in the school stipulates 90% or greater effort in clinical practice, then that individual's scholarship would be judged on appropriate examples of the standards for excellence in clinical practice as set forth in the college's APT document.

a. *Criteria for Promotion to the Rank of Assistant Professor of Clinical Health and Rehabilitation Sciences*

Faculty appointed as Instructors of Clinical Health and Rehabilitation Sciences are eligible for promotion to Assistant Professor of Clinical Health and Rehabilitation Sciences upon completion of a doctorate or other terminal degree and demonstrated excellence in performance during the preceding contract year(s), and otherwise meeting or exceeding the criteria for initial appointment as an Assistant Professor of Clinical Health and Rehabilitation Sciences.

b. *Criteria for Promotion to the Rank of Associate Professor of Clinical Health and Rehabilitation Sciences*

Clinical Faculty members have a greater responsibility for clinical teaching and patient care than individuals in the Tenure-Track. Clinical Faculty members are not eligible for tenure. The criteria in the categories of teaching and service are, for the most part, similar to those for the Tenure-Track for each faculty rank, although there is greater emphasis on teaching, service and patient care in this track, and less emphasis on traditional scholarship.

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

Promotion to Associate Professor Clinical must be based upon clear and convincing evidence that the candidate has established a national level of impact and reputation since being appointed to the rank of Assistant Professor. Since the appointment to the rank of Assistant Professor, the candidate has performed an equitable share of teaching, service and administrative tasks in compliance with school policies and procedures.

1) *Teaching and Mentoring*

A distinctive record of teaching and mentoring excellence is required for promotion. Excellence is demonstrated by consistent positive evaluations by students, external evaluators, and peers, which may include awards or other recognitions. In addition to teaching evaluations, the faculty member should demonstrate substantial impact on the teaching programs such as curriculum innovation, development of new teaching modalities or methods of evaluating teaching, and program or course development, or accomplishments of graduate students, including professional doctoral students. Active participation as a mentor in training grants and other such mentored programs is highly valued as a teaching and mentoring activity. A national impact may also be demonstrated through the presentation of continuing education courses at the regional or national level. Teaching related to clinical education including the oversight and administration of clinical education programs is recognized as a valued part of the educational process. Examples of excellence in clinical education include consistent positive: peer evaluations of clinical education administration, student evaluation of clinical education administration, external evaluation by affiliated sites, and recognition for mentoring/advising of preceptors. Development of an innovative clinical education program and recruitment and retention of high performing clinical sites are also recognized as examples of teaching excellence for those involved in clinical education.

2) *Service*

A record of effective service is required. Service is broadly defined to include administrative service and committee work for the division, school, college, or university, academic or clinical program development, leadership and related activities, professional service, which may include active national participation in professional societies, or other organizations relevant to the mission of the institution. Work as a formal consultant is also recognized as a form of service to public and private entities beyond the university.

3) *Scholarship*

The candidate must demonstrate an area of focus in scholarship with a record of contributions to scholarship such as publication of case reports, book chapters, participation in grantsmanship, research projects or clinical trials, or contributions as contributing author on peer-reviewed journal publications, or presentations of scholarly work at professional meetings. In the current era of team and collaborative scholarship, it is recognized that meaningful scholarship is not uniformly represented by first or senior authorship. Works in which the faculty member's individual and identifiable expertise was essential to the publication are regarded as having merit equivalent to those that are first or senior author. A range of 6-8 scholarly written or digital publications at time of promotion is suggested as a scope of work consistent with promotion to Associate Professor when research is 25% of the candidate's distributed load. However, this range does not represent an inflexible requirement for promotion.

c. *Criteria for Promotion to Rank of Professor of Clinical Health and Rehabilitation Sciences*

Promotion to Professor of Clinical Health and Rehabilitation Sciences must be based upon clear and convincing evidence that the candidate has established, through teaching, service, and/or scholarship, a national or international reputation, and has demonstrated a substantial impact on the field.

1) *Teaching and Mentoring*

A sustained record of excellence in teaching is required for promotion as demonstrated by consistent positive evaluations by students, external peers, and peers. Candidates for promotion to professor should also demonstrate accomplishment in educational leadership as reflected by development of courses or programs, or other educational innovations and sustained efforts in these areas. Teaching excellence may also be demonstrated through participation in specialty boards. Teaching awards are highly valued. Invitations to present on pedagogy or to provide continuing education on a national or international level are examples of impact of teaching. Candidates must demonstrate favorable impact on teaching and training programs, including curriculum innovation, new teaching modalities or methods of evaluating teaching, and program or course development. Accomplishments of graduate students, including professional doctoral students, will also be valued. Teaching related to clinical education, including the oversight and administration of clinical education programs, is recognized as a valued part of the educational process. Examples of excellence in clinical education include consistently excellent: peer evaluations of clinical education administration, student evaluation of clinical education administration, external evaluation by affiliated sites, and recognition for mentoring/advising of preceptors. Leadership in development of an innovative clinical education program and recruitment and retention of high performing clinical sites are also recognized as examples of teaching excellence for those involved in clinical education. Mentorship of junior faculty may also demonstrate teaching excellence. It is presumed that this will take the form of a primary mentoring relationship, and not just ad hoc career coaching. Candidates should provide evidence of mentoring relationships by submitting a letter of evaluation of the quality and effectiveness of the mentoring from the division director or school director who directly supervises the person mentored.

2) *Service*

A record of leadership in service is required. Service is broadly defined to include administrative service and committee work for the division, school, college, or university, academic or clinical program development, leadership and related activities, professional service, which may include active national participation in professional societies, or other organizations relevant to the mission of the institution. Evidence of a leadership in service can include appointment or election to college, medical center, and/or university committees and mentoring activities.

Evidence of leadership in professional service should include activities such as journal editorships, offices held, or other national or international service that demonstrates leadership.

3) *Scholarship*

A sustained record of contributions in scholarship as reflected by publications of case reports, book chapters, books, participation in grants (co-I or PI), research projects, or clinical trials, or contributions as a contributing author on peer-reviewed journal publications. Twelve or greater scholarly publications at time of promotion with at least 6 since promotion to associate professor is suggested as a scope of work consistent with promotion to Professor. However, this number does not represent an inflexible requirement for promotion.

4. Promotion of Research Faculty

In the Research faculty, the criteria for promotion focus principally on the category of research, and the standards are comparable to those used for the Tenure-track for each faculty rank, with the expectation for very high productivity in research.

a. Criteria for Promotion to Associate Professor or Professor for Research Faculty

The criteria for promotion of research faculty in the school are identical to those for tenure-track faculty, with two important exceptions. First, there is no expectation for accomplishments in teaching for research faculty. The case will be made principally on accomplishments in research and scholarship. The second difference is that a higher level of productivity and impact in research will be required of research faculty. Research faculty members have no teaching expectation and will normally have research time in the 90 – 100% range, about twice that of a tenure-track faculty member in the school. Therefore, the research faculty member should be highly productive in research, more productive than the typical tenure-track faculty member as demonstrated by publications, presentations, patents and/or other products from their research, and should have a record of accomplishment comparable to faculty in the basic science departments in the College of Medicine. A consistent and sustainable record of extramural funding providing salary support for all time allotted to research will be expected for promotion in the research track.

The research faculty member will also be expected to have a record of service aligned with the program of research, such as service in reviewing for journals or granting agencies. The overarching standard for promotion to associate professor will be a national reputation and national impact for the program of scholarship.

If the research faculty member has teaching duties in advising graduate students or postdoctoral fellows, or other educational responsibilities such as participating in training grants, then educational

excellence will be expected in these areas and can be demonstrated in the same manner as for tenure-track faculty.

Promotion to Research Associate Professor mimics that for promotion to Associate Professor on the tenure track, with a high expectation for research productivity and clear and convincing evidence that the candidate has established a national or international reputation for excellence.

Promotion to Research Professor mimics that for promotion to Professor on the tenure track, with a high expectation for research productivity and clear and convincing evidence that the candidate has established a national or international reputation for leadership and excellence.

5. Promotion of Associated Faculty

The criteria for associated faculty mimic those for clinical faculty in the school, adjusted as appropriate for the time allotted for teaching, scholarship, and service in the contract.

a. Criteria for Promotion to Assistant Professor of Practice for Associated Faculty

Associated faculty who have held the title of lecturer, senior lecturer, or instructor may apply for promotion to become an Assistant Professor of Practice if they have completed a doctorate or other terminal degree, meet the criteria for appointment as an Assistant Professor of Practice, and have demonstrated excellence during previous contract period(s) in fulfilling the duties assigned by that contract.

b. Criteria for promotion to Associate Professor of Practice or Professor of Practice for Associated Faculty

Promotion to Associate Professor of Practice must be based upon clear and convincing evidence that the candidate has established a national level of impact and reputation since being appointed to the rank of Assistant Professor of Practice.

Promotion to Professor of Practice must be based upon clear and convincing evidence that the candidate has established a national or international reputation for leadership and excellence since being appointed to the rank of Associate Professor of Practice

National or international reputation and impact can be demonstrated according to the same criteria used for clinical faculty in the school.

The candidate must have demonstrated excellence during previous contract period(s) in fulfilling the duties assigned by that contract.

B. Procedures

The school's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule [3335-6-04](#) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#). The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the school.

The school's procedures for promotion and tenure reviews are in accordance with Faculty Rule Review Procedures for Promotion

1. Candidate Responsibilities

The candidate shall have primary responsibility for preparing and submitting a complete and accurate dossier that is 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.

The candidate must choose which APT document to be reviewed against at the time of submitting the request for promotion, and if not using the current document, must supply a copy of the previous document to be used. Candidates may elect to be reviewed according to the school'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. If the candidate does not specify, the school's current APT document will be used.

The candidate is expected to review the list of potential external evaluators developed by the school director and, for candidates in a division, the division director. 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 school director decides whether removal is justified.

In addition to the core of the dossier, the candidate provides copies of annual review letters received since appointment or promotion to the current rank. The office of the school director may be able to supply these if the candidate does not have a copy. The candidate provides the SEI reports or other school approved documentation of the effectiveness of teaching for the period of teaching covered by the dossier. The candidate provides copies of peer evaluations of teaching provided by the period covered by the dossier. The school's Associate Director for Academic Affairs may have copies of peer evaluations if the candidate does not.

2. Responsibilities of the Committee of the Eligible Faculty

The school does not have a separate promotion and tenure committee; all eligible faculty sit on the Committee of the Eligible Faculty (see Section III.A. of this document).

The committee's responsibilities in general 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.
- To review this document annually and to recommend proposed revisions to the faculty.
- To review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; to work with candidates to assure that needed

revisions are made in the dossier before the formal review process begins; and, in general, to promote awareness and understanding of the appointments, promotion, and tenure guidelines set forth in this document.

- 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 (see Pre-promotion Review below).
- To conduct itself in accordance with the procedures and criteria set forth in this document and with applicable university policies and rules.
- To have a Procedures Oversight Designee, who cannot be the same individual who chairs the committee. This term lasts one year and begins July 1st. The duties of the Procedures Oversight Designee are set forth in the OAA [Policies and Procedures Handbook](#).
- To conduct its duties for the school's Fall Review, including the following: reviewing the dossier and drafting an analysis of the candidate's performance in teaching, scholarship and service, clarifying any inconsistent evidence in the case, where possible; voting when indicated for mandatory reviews and promotion reviews; revising the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote where applicable and a summary of the faculty perspectives expressed during the meeting; forwarding the completed written evaluation and recommendation to the school director; and, providing a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.

a. *Mandatory and Promotion Reviews*

For faculty seeking promotion or in a mandatory review year, the Committee of the Eligible Faculty shall meet as a part of the school's Fall Review to review the candidate's progress and provide a written evaluation, including a vote, to the school director to inform the school director's decision. These evaluations from the Committee of the Eligible Faculty are included in the dossier for promotion reviews.

b. *Pre-promotion Review for Non-Mandatory Promotions*

For candidates seeking non-mandatory promotion (i.e., non-probationary faculty), the committee shall convene in spring to consider the case and determine whether to support the case going forward. The candidate seeking promotion should submit to the school director a complete dossier suitable for promotion in time for the school's Spring Review. The Committee of the Eligible Faculty shall use that document for the pre-promotion review.

A simple majority of the eligible members of the committee must vote in favor for case to proceed. A candidate seeking non-mandatory promotion shall not be delayed more than a year by this process. 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 school director 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 not considered for promotion by this school.

A decision by the committee to permit a review to take place in no way commits the eligible faculty, the school director, or any other party to the review to making a positive recommendation during the review itself.

The eligible members of the Committee of the Eligible Faculty shall meet face-to-face to deliberate and to prepare a written report for the school director providing the eligible faculty's assessment of quality and effectiveness of the candidate's teaching, quality and significance of scholarship, and quality and effectiveness of service. Participation in the meeting via conference call or a teleconferencing system may be allowed with the permission of the chair. Members not present during the meeting cannot vote or contribute to the evaluation of the candidate.

Prior to this meeting, a member of the Committee of the Eligible Faculty shall verify the candidate's publications as required for the dossier. For the meeting, a member will volunteer to be the procedures oversight designee. The procedures oversight designee cannot be the same individual who chairs the committee.

c. *Review of Faculty with Joint Appointments*

The school director is responsible for reviewing the performance of faculty with their primary TIU in another unit who hold a joint appointment in the school upon request from the director of the individual's home TIU. The school director may request that the Committee of the Eligible Faculty perform an initial review of such candidates and forward that review to the school director.

3. Responsibilities of the Division Director

For mandatory reviews and for consideration of promotion, the division director is delegated many supervisory duties and therefore does not participate in voting as a member of the eligible faculty. In these cases, the division director writes a letter summarizing the case and indicating whether or not they support the case. The division director attends meetings of the eligible faculty at which a vote must be held on faculty in their division to respond to questions raised during the meeting. The division director will leave the meeting to allow open discussion and voting among the eligible faculty members.

For promotion reviews and for new senior faculty appointments, the division director develops a list of appropriate external evaluators, and accepts suggestions from the candidate. This list is sent to the school director for approval.

The division director writes letters using the standard format to request external evaluations and completes the OAA forms documenting the external evaluation for inclusion in the dossier.

The division director mentors the candidate on development of a strong dossier and provides feedback as described for the fall review.

For faculty who hold joint appointments or who have assigned clinical duties, the division director requests feedback from the clinical supervisor or other TIU director on the performance of the candidate, receives such feedback, and ensures that the letter is included as appropriate with the dossier for consideration during review.

4. Responsibilities of the School Director

In the school, for division directors and other faculty who have school wide appointments and do not report to a division director, the school director takes on the responsibilities assigned to the division director above. The school director attends meetings of the eligible faculty at which a vote must be held to respond to questions raised during the meeting. The school director will leave the meeting to allow open discussion and voting among the eligible faculty members.

Once the report of the Committee of the Eligible Faculty is added to the dossier, the school director is responsible for preparing a separate written assessment of the case and recommendation for the dean for inclusion in the dossier.

Where relevant, the school director shall 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 school.

The school director provides oversight to the division director for the responsibilities delegated above. The school director must approve the list of external evaluators.

The school director ensures that a system is in place allowing review of the dossier by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.

The school director may 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.

The school director shall meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.

After completion of the department review process, the school director shall inform each candidate in writing of the following:

- The recommendations by the eligible faculty
- The recommendation of the school director
- The availability for review of the written evaluations by the eligible faculty and school director
- The opportunity for the candidate to submit written comments on the above material, within ten days from receipt of the letter from the school director, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the school director, indicating whether or not he or she expects to submit comments. Further details are provided below.

The school director shall provide a written response to any candidate comments that warrant response for inclusion in the dossier.

The school director shall forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the director recommends against promotion. A negative recommendation by the director is final in such cases. Further details are provided below.

When other tenure initiating units request feedback on faculty performance for faculty in their TIU who also have responsibilities to the school, the school director shall forward such requests and

associated documents to the Committee of the Eligible Faculty for review. The school director shall receive the committee's written evaluation and recommendation, and shall forward this material, along with the school director's independent written evaluation and recommendation, to the head of the other tenure-initiating unit by the date requested.

a. *Comments Process*

When the Committee of the Eligible Faculty's report and school director's letter have been completed, the candidate shall be notified within one business day in writing of the completion of the school's review and the school shall provide these letters to the candidate. The candidate shall be allowed to review the entire dossier upon request. The candidate may provide the school director with written comments on the school's review for inclusion in the dossier within ten calendar days of notification of the completion of the review. The school's Committee of the Eligible Faculty chair and/or the school director may provide written responses to the candidate's comments for inclusion in the dossier. Only one iteration of comments on the school's review is permitted.

b. *Forwarding the Dossier to the College*

When the dossier is complete, including comments, the school director shall forward the dossier with all internal and external evaluations, candidate comments on the school's review and school's Committee of the Eligible Faculty and/or school director responses to those comments, if any, to the dean of the college. After review at the college, the dossier shall also be reviewed at the university level. There is an opportunity for comments after the college review. After the university review, if the candidate disputes the result, there is an appeal process described later in this document.

c. *Faculty with Joint Appointments*

Tenure-track faculty may only have one tenure initiating unit (TIU). Faculty with a joint appointment between two or more TIU's, with salary shared among them, shall have one TIU named as the primary home of the appointment. Faculty in this circumstance shall have a memorandum of understanding (MOU) between the chairs of the respective department and school developed at the time of the initial appointment. Among other things as required by the university in faculty position letters of offer, this MOU shall indicate which department is the tenure initiating unit of the faculty member.

The AP&T document for the TIU shall serve as the document governing promotion and tenure decisions for that faculty member. The chair(s) of the other department(s) shall (each) provide an evaluative letter of the faculty member's contributions. These letters are to be requested by the division director, or in the case of faculty not in a division, by the school director. Evaluative letter(s) provided by the chair(s) of the other TIU(s) shall be included in the appropriate section of the dossier. The deadline for this shall conform to the deadline for the chair of the home TIU, such that all evaluative letters are available at the time the candidate is offered the opportunity to review the dossier in the comments process.

5. *External Evaluations*

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or

promotion reviews, all clinical and research promotion reviews, and all associated faculty who request an external review.

For tenure-track and clinical and research faculty, a minimum of five credible and useful evaluations must be obtained. For associated faculty, the minimum is three. A credible and useful evaluation:

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. The school will only solicit evaluations from faculty members at or above the rank sought by the candidate. The external evaluators must have positions and titles such that, if on faculty at Ohio State, they could be considered eligible faculty for the review.
- 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.

All solicited external evaluation letters that are received must be included in the dossier. If the school believes that a letter is not credible or useful, or if other concerns arise about any of the letters received, these concerns may be addressed in the school's written evaluations or brought to the attention of the Office of Academic Affairs for advice. If the School wishes for a letter to be eliminated from the dossier, permission to remove the letter must be obtained from the provost's office. Since the school cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than May or June prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

A list of potential evaluators is assembled by the division director, the school director, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor the school requires that the dossier contain letters from evaluators suggested by the candidate. The candidate may also request removal of evaluators from the list by providing a written rationale to the school director. No more than two may be excluded based on the candidate's objections.

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 school director, who will decide what, if any, action is warranted (e.g., requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

The division director (for faculty in that division) or alternate from the executive committee (for division directors or faculty not in a division) shall obtain letters from external evaluators. Unsolicited letters of evaluation or letters of evaluation solicited by anyone other than the above authorized persons shall not be included in the dossier.

A sample letter as provided in Appendix B shall serve as the text for each request for external evaluation. The candidate's c.v. along with 3 examples of scholarly work, typically peer-reviewed journal articles or comparable scholarly products, shall be sent to the external reviewer. The candidate will be allowed to select the examples of scholarly work being evaluated.

6. Dossier

The dossier as defined by Volume 3 of the Office of Academic Affairs' [Policies and Procedures Handbook](#) serves as the model for documentation of all faculty reviews, including the annual review of probationary faculty, annual merit review, and reviews for tenure and/or promotion. The faculty member under review bears the responsibility for preparing the dossier, according to the guidelines, in order to document his/her accomplishments. The narrative which follows details more specifically the documentation required for all faculty in the school. These guidelines are meant to supplement the Office of Academic Affairs' guidelines, not to replace them.

The faculty member is responsible for completing the core of the dossier. It is the responsibility of the division director to provide support for each faculty member in this process of documentation. It is the responsibility of the school director to provide support to division directors in this process. As outlined in the procedures for promotion, the responsibility for completion of the evaluative portions of the dossier is assigned to the school director by the university, and certain portions of this responsibility are delegated to the division director for faculty in a division.

a. Teaching Evaluation

High quality teaching is expected of every faculty member in the school. The school has a strong commitment to the teaching of undergraduate and graduate students and to clinical education. Documentation should reflect an ongoing, comprehensive, and systematic evaluative process by each faculty member in the school.

With specific teaching goals in mind, evaluation data should reflect the ability of the faculty member to meet the following expectations:

- Command of the course content
- Ability to communicate effectively
- Objectivity and fairness
- Contributions to the development of courses and curricula
- Creativity in course development and classroom strategies
- Mentoring of future professionals
- Contributing to graduate education, including advising graduate students
- Contributing to the continuing education of allied health professionals.

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

1) *Self-Assessment*

Within the dossier, each faculty member shall provide a statement of his/her own teaching philosophy and goals. Documentation of teaching objectives, classroom strategies, student outcomes, evaluation of learning, and evaluation of instruction must clearly relate to the faculty member's goals. The faculty member's self-assessment in the dossier should relate to the expectations above and explain how the faculty member has systematically improved his/her teaching.

2) *Student Evaluation*

All faculty members are required to submit to student evaluation. All didactic and laboratory courses must be evaluated by students, using the university Student Evaluation of Instruction (SEI). The instrument should be administered and collected by someone other than the faculty member who is being evaluated. Every attempt should be made to maximize response rates.

In addition, teaching should be evaluated by students using open-ended questions or forms that elicit their comments. These forms must be disseminated, collected, collated, and summarized by someone other than the faculty member. Other methods of student evaluation can include mid-course evaluations, student group consensus processes and/or faculty prepared evaluations. Each faculty member is also encouraged to evaluate the quality of his/her contributions to clinical instruction, using consistent forms adopted by the division or school.

Courses such as independent study, practicums, seminars etc. may not be amenable to evaluation using the SEI and, therefore, evaluations are not required for these courses. When alternative evaluation instruments are selected, they should be used consistently. Faculty members who teach courses outside the school should use the standard evaluation form of that teaching unit.

3) *Peer Evaluation*

Systematic peer evaluation of teaching is required. Both probationary and non-probationary faculty (at all ranks) must have periodic peer evaluation of classroom teaching. Peer evaluations should focus on those aspects of teaching that students cannot validly assess, such as appropriateness of curricular choices, implicit and explicit goals of instruction, choice of examination/evaluation materials by the faculty member, and consistency with highest standards of disciplinary knowledge. Literature on the evaluation of instruction suggests that there is no single best instructional method. Peer evaluations should have clear goals and reflect the school's criteria for good teaching. Use of one of the school's approved evaluation forms for peer review is required. Peer evaluation should include a representative sample of the faculty member's teaching. It can include observation and critique of classroom teaching and external evaluation of teaching materials by experts in the field.

This peer evaluation can be formative or summative. Formative peer evaluation is arranged by the faculty member or the division or school director. The peer evaluator can provide written and verbal feedback to the candidate. The results are used internally by the faculty member for improvement. If the candidate chooses to do so, the formative evaluation can be described in the narrative of dossier as an example of the candidate's efforts and interest in improving his/her teaching. Formative evaluations are not used for evaluation of the candidate's teaching performance.

Summative peer evaluation is arranged by the division or school director and results in an evaluative letter placed in the candidate's dossier. For summative peer evaluation, classroom observation

should include multiple visits to the classroom, the completion of an approved evaluation instrument for the school, and a narrative summary of the findings by the evaluator. Summative peer evaluation shall be carried out by a faculty member eligible to sit on the committee of the eligible faculty for that candidate. The summative report must be submitted to the division or school director.

Whether for formative or summative evaluation, the peer evaluation process should begin with a discussion between the evaluator and the faculty member regarding the teaching goals and plan for the sessions to be observed. Classroom observation should include assessment of student interest and response, as well as the instructor's style, organization, ability to explain complex ideas, interaction, eye contact, body language, content, and synthesis.

Tenure and or promotion candidates should have at least one completed peer-review for the majority of courses in which they have a major role. The number of peer reviews of teaching will depend on the number of courses taught. When being considered for promotion, a faculty member must have had at least two peer reviews of teaching since the time of appointment or last promotion.

4) External Evaluation of Teaching

Each probationary tenure-track faculty member is encouraged to document at least one external evaluation of teaching materials (e.g., syllabi, examinations, and handouts) prior to the sixth-year review. The external evaluation must be arranged, carried out, and received by the division director or school director. The director, in consultation with the candidate, should select colleagues outside of the university who have considerable content expertise. When possible, the peer evaluator should hold a rank equal to or higher than the candidate. Course materials are sent to this individual, and he/she is asked to provide a narrative summary of the quality of the materials and the learning experience as represented by these materials. Consultation for conducting external evaluation of teaching is available from the [University Institute for Teaching and Learning](#). The evaluation summary is returned to the division director or school director, who shares it with the faculty member and submits it to the Committee of the Eligible Faculty for inclusion in the dossier. The number of external evaluations of teaching required of tenured faculty has not been specified; however, peer evaluation of new or significantly revised courses is encouraged.

5) Other Forms of Teaching Evaluation

Faculty members are encouraged to present other forms of evaluative feedback when it helps to clarify and further substantiate teaching quality. Such materials might include, but are not limited to, publications and scholarly presentations related to instructional topics, awards and commendation received by former or current students, teaching materials which have gained national or international recognition, other evidence of national or international reputation in teaching, student outcomes, such as performance on standard tests or licensure examinations, evaluations of the quality of advising, evaluative feedback from continuing education programs, and awards for teaching.

b. Research/Scholarship

Volume 3 of the Office of Academic Affairs [Policies and Procedures Handbook](#) provides explicit instructions for completion of the research section of the dossier. Candidates must consult the handbook's outline and instructions annually and are advised to NOT use old dossiers as a guideline.

The candidate must provide within the dossier working URL's to all publications that are accessible online. For any publication that is not online (except abstracts), the candidate must provide a hard copy to the school director's office for verification and evaluation by the Committee of the Eligible Faculty. Materials accepted for publication but not yet published must be accompanied by the notice of acceptance from the editor or publisher. Items submitted for publication but not yet accepted must be accompanied by confirmation of the submission.

In addition to these items submitted to the school director, the candidate must be prepared to produce proof upon request of any item listed under research and scholarship, for example, abstracts, grants, presentations. The notice of acceptance for abstracts or grant awards from funding agencies may be inspected by the division or school director or by the member of the Committee of the Eligible Faculty appointed to verify documentation.

c. Service

Memberships on committees at the local, state, national, and international level are listed in the core of the dossier. The list of university committees should be divided by division, school, college, and university. This list may also include affirmative action and mentoring activities, administrative positions held, and other administrative services. For each committee listed, the candidate indicates in the dossier if membership was appointed, elected, or voluntary. When appropriate, a brief description of the scope of the committee's work is to be provided.

Committee roles, level of participation, and leadership are described. The candidate may describe his/her unique contributions and specific projects and activities accomplished through their own efforts or leadership.

When service constitutes a substantial means by which the candidate satisfies the evaluative criteria, letters may be solicited to assess the candidate's contributions. As with other forms of evaluation, these shall be arranged, carried out, and received by a faculty member other than the candidate (e.g., the division director). Contributions evaluated may include organizing conferences or continuing education, writing proposals, or completing important projects.

Internal or external letters can be solicited to evaluate the candidate's contribution to a committee or a project.

The candidate must be prepared to show documentation of all service activities.

C. Clinical Faculty and Research Faculty

1. General Considerations

According to Faculty Rule [3335-7-08](#), annual review, reappointment/non-reappointment, and promotion review procedures for clinical and research faculty shall be consistent with review procedures established for tenure-track faculty, including those set forth in rules [3335-6-03](#) and [3335-6-04](#) with the following exceptions:

- The college dean's decision shall be final with respect to reappointment and non-reappointment and with respect to denial of promotion. In other words, there is no review at the university level for a negative decision.

- The university rules give the school the option as to whether to require external evaluation of clinical faculty or research faculty. In the school, external evaluations ARE a required part of the process for consideration of promotion for clinical faculty and research faculty. External evaluations are not solicited and will not be considered in the decision for reappointment vs. non- reappointment at the same rank at the end of a contract period.

2. Promotion for Clinical Faculty and Research Faculty

A clinical faculty or research faculty member in the school who has already passed the probationary period may request consideration for promotion at any time during the current contract. The exact same procedures followed for tenure-track faculty promotions will be followed, with the following exceptions:

- The result of a positive mid-contract promotion decision for clinical faculty or research is promotion. The decision as to whether to offer a new 3-5 year contract comes in the penultimate year of the present contract and is separate from the decision for promotion. A new contract that would start concurrent with the promotion, however, may be offered to the candidate by the school director.
- A negative decision for promotion mid-contract does not affect the terms of the present contract.

3. Promotion Concurrent with Initial Reappointment for Clinical Faculty or Research Faculty

Clinical faculty or research faculty may be considered for promotion concurrent with consideration for the initial reappointment. In this case, the committee shall vote separately on two independent motions: (1) to reappoint the faculty member in their current rank, independent of the decision to promote, and (2) if reappointment is approved, to promote the faculty member to the higher rank. This leaves open the possibility that reappointment at rank may be approved, but promotion might not be approved.

D. Associated Faculty

Procedures for promotion of associated faculty in the school mimic those for clinical faculty, with the exception that the decision of the school director is final; there is no review at the college or university level.

Associated faculty may request promotion in any year after their first contract. The process is identical to that for clinical faculty, with the following exceptions:

- A dossier is not required. The associated faculty member may use a CV or a dossier. The information in either case must provide evidence according to the criteria for promotion of clinical faculty to support the promotion.
- The request for promotion may be submitted any time before March 1st in the year preceding the desired promotion.
- The initial determination to support the promotion is made by the division director. If the division director does not support the request, no new request for promotion from the candidate shall be considered by the supervisor until the next academic year. An associated faculty member's

request for promotion may not be delayed for more than a year by this process. After a year, if the candidate so desires, the Committee of the Eligible Faculty must consider the case.

- When a candidate for promotion is to be considered by the Committee of the Eligible Faculty, the supervisor (division director or program director) provides a written letter evaluating the case and a recommendation for whether or not to support the promotion to the chair of the committee. The committee considers the request as it would for a new appointment at the desired rank.
- The chair of the Committee of the Eligible Faculty shall forward a written recommendation along with a record of the vote and a summary of comments from the committee to the school director.
- The school director decides whether or not to support the promotion. The school director meets with the candidate and the division director to present the decision.
- If there is a difference in the recommendation of the school director from that of the division director or of the committee, the school director shall offer to meet with the division director and the committee to explain the decision.

VII. Appeals

Faculty Rule [3335-6-05](#) states:

It is the policy of the Ohio state university to make decisions regarding the renewal of probationary appointments and promotion and tenure in accordance with the standards, criteria, policies, and procedures stated in these rules, supplemented by additional written standards, criteria, policies, and procedures established by tenure initiating units and colleges. If a candidate believes that a nonrenewal decision or negative promotion and tenure decision has been made in violation of this policy and therefore alleges that it was made improperly, the candidate may appeal that decision. Procedures for appealing a decision based on an allegation of improper evaluation are described in rule [3335-5-05](#) of the Administrative Code.

Faculty Rule [3335-5-05\(A\)](#) on Definitions and Construction states:

- (1) Complaints concerning promotion, tenure, or renewal decisions may be made to the committee on academic freedom and responsibility by any faculty.
- (2) In all formal proceedings under this rule, the burden of going forward and the burden of establishing proof shall be on the complainant.
- (3) "Improper evaluation," as used in this rule, shall mean:
 - (a) That a decision affecting the complainant was based upon an inadequate consideration of the pertinent facts by the individual(s) making the decision, or
 - (b) That such decision was based upon reasons or considerations that infringe a constitutional right of the complainant.
- (4) In considering complaints alleging an improper evaluation under this rule, the review should consider only whether those individual(s) making the decision followed the appropriate procedures, considered the important evidence material to a fair determination, and acted in a responsible manner. When reviewing complaints, neither the committee on academic freedom and responsibility nor the faculty hearing panel shall substitute its judgment on the merits of the individual's performance for that of the academic unit.

- (5) If a complaint is dismissed by either the committee on academic freedom and responsibility or a hearing panel pursuant to this rule, no appeal may be taken by the complainant.
- (6) All records of the proceedings under this rule shall be kept in the office of the executive vice president and provost and shall not be open to public inspection without the written permission of the complainant and the executive vice president and provost.

VIII. Seventh-Year Review

Every effort shall be made to consider new information about a candidate's performance before a final decision is made if the new information becomes available before a decision is rendered. In accordance with Faculty Rule [3335-6-05\(B\)](#), in rare instances where a candidate for promotion to associate professor with tenure received a negative decision in the sixth-year review, the school director may petition the dean to conduct a seventh-year review. Both a majority of the Committee of the Eligible Faculty and the school director must approve the petition, which must provide documentation of substantial new information regarding the candidate's performance that is germane to the reasons for the original negative decision. Petitions for seventh-year reviews must be initiated before the beginning of the last year of employment.

If the dean concurs with the school director's petition, the dean shall in turn petition the executive vice president and provost for permission to conduct a seventh-year review. If the provost approves the request, a new review will be conducted equivalent to the one that resulted in the non-renewal of the appointment. The conduct of a seventh-year review does not presume a positive outcome. In addition, should the new review result in a negative decision, the faculty member's last day of employment is that stated in the letter of non-renewal issued following the original negative decision.

A faculty member may not request a seventh-year review, appeal the denial of a seventh-year review petition initiated by the school, or appeal a negative decision following a seventh-year review, since the faculty member already has been notified that tenure has been denied at the conclusion of the sixth-year review.

IX. Appendices

A. Sample Letter Directed to an External Evaluator

The text below is intended for the cover letter to be used as an overall external assessment of a faculty member's impact in consideration of the case for promotion to a higher rank. In the text below, the braces ([]) are used to denote text that should be replaced with the name of the candidate or evaluator, or other information as indicated (the braces themselves should be removed). In cases where two choices are given in braces separated by – or –, (e.g., [A] – or – [B]) choose the appropriate text and omit the alternative. The letter should be printed on school letterhead.

- - - copy text below here - - -

[Evaluator name, title, address, phone, and email contact info] [Date]

Dear [Evaluator],

The School of Health and Rehabilitation Science is considering Dr.[Candidate] for promotion to [new rank]. Dr. [Candidate]'s performance in teaching, [research]– or – [scholarship], and service will be evaluated at the division, school, college and university levels to determine whether [promotion and tenure] – or –[promotion] will granted. I am asking you only to provide a critical assessment of Dr. [Candidate]'s [research] – or – [scholarship].

Enclosed you will find a copy of Dr. [Candidate]'s curriculum vitae and copies of the following papers:

[reference 1]

[reference 2]

[reference 3]

Would you please comment in some detail on the significance of the overall [research] – or – [scholarship] program as well as on the individual papers, including the merit of the work, its originality, and its impact on the field of study? In addition, please provide your assessment of how Dr. [Candidate]'s [research] – or – [scholarship] compares to others in this field at the same stage of career development.

Please do not comment on whether Dr. [Candidate] should be [promoted and tenured] – or – [promoted] at Ohio State or would or would not be [promoted and tenured] – or – [promoted] at your institution. We must make this assessment based on the total record, not just on [research] – or – [scholarship], and on our own criteria and standards.

Under the Ohio Public Records Act, all documents related to promotion and tenure reviews, including letters of evaluation, are public records. Thus, we cannot promise confidentiality.

Thank you for your time and effort in responding to this request. If for any reason you will not be able to evaluate this candidate or if you have any questions about this process, please contact me by email or phone immediately.

I would appreciate receiving your response by [date]. Sincerely,

[School Director signature] [School Director Name and Title, phone, and email contact info]

B. Reporting of Impact of Scholarly Work

1. GUIDELINES FOR REPORTING IMPACT OF PUBLISHED WORKS.

Faculty are required to demonstrate the impact of their scholarly publications in the dossier for the period since the most recent promotion in the **Research** section under the following heading:

4) Description of Quality Indicators of Your Research, Scholarly or Creative Work, Such as Citations, Publication Outlet Quality Indicators Such as Acceptance Rates, Rankings or Impact Factors of Journal or Publisher

For promotion to Associate Professor, the data should represent all publications since the start of the career. For promotion to Professor, the data should represent all publications since promotion to Associate Professor, or at least the past five years. The candidate may include the entire career if so desired, but the evaluation for promotion to Professor will be based principally on accomplishments in rank as an Associate Professor.

The information that previously was generated automatically by Research in View and OSU Pro is no longer produced in the same way by VITA. Until such time as the University's system produces a consistent report, these guidelines will serve to create a uniform reporting format among all faculty in the school.

a. *Journal impact factors*

For every journal in which you have published your work, please create a table as follows:

Journal Impact Factor (number of publications per year in parentheses, including papers and abstracts)

| Journal | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 |
|------------------------------|------|------------|------|------------|------------|------------|------------|------------|------------|
| Journal of Clinical Research | 3.9 | 3.7 | 4.2 | 4.5 (2) | 4.2 (2) | 4.6 (1) | 5.7 (1) | 6.3 (3) | --- (1) |
| Journal of Basic Science | 2.0 | 1.6 (1) | 1.9 | 2.1 (2) | 1.8 | 1.9 (1) | 1.8 | 2.1 (1) | --- (1) |

etc. for each journal in which you have published your work

If a substantial portion of your publications are in journals that are not indexed or do not have impact factors, some description of the position of the journal in the field must be provided.

For example, the following statement would suffice:

“The Journal of Great Professional Care is the official publication of the Society of Great Professionals, which is the sole professional organization for my profession. The acceptance rate for this journal is approximately 30% and it reaches the 12,000 members of my professional society.”

b. Citations

The dossier must include a report of the number of citations by year, an H-index if available, and some breakdown of the number of citations by article or by type of publication. There is more than one acceptable way to provide this information.

1) *Legacy Format*

If faculty have currently produced a facsimile of the table that was previously included in RIV and OSU Pro and they want to continue to provide that format, this is acceptable. However, the only way to create this table is to manually collate the results, and this is not required.

Nonetheless, if this legacy table is included in the dossier, then it must be accurate. Faculty are free to provide additional information to supplement this table, such as a graph of citations per year, information about any highly cited papers, etc., but they must provide the source of that information so that a reviewer could verify it.

Sample legacy format table

| Year | First-authorship citations | | Last-authorship citations | | Co-authorship citations | | Sole-authorship citations | | Totals | |
|--------|----------------------------|----------------|---------------------------|----------------|-------------------------|----------------|---------------------------|----------------|------------|----------------|
| | Self-Cited | Not Self-Cited | Self-Cited | Not Self-Cited | Self-Cited | Not Self-Cited | Self-Cited | Not Self-Cited | Self-Cited | Not Self-Cited |
| Prior | 5 | 25 | 0 | 0 | 3 | 16 | 0 | 0 | 8 | 41 |
| 2015 | 2 | 12 | 0 | 0 | 4 | 21 | 0 | 0 | 6 | 33 |
| 2016 | 0 | 15 | 0 | 4 | 1 | 34 | 0 | 0 | 1 | 53 |
| 2017 | 1 | 30 | 0 | 9 | 3 | 17 | 0 | 2 | 4 | 58 |
| 2018 | 0 | 21 | 1 | 10 | 0 | 32 | 1 | 1 | 2 | 64 |
| Totals | 8 | 103 | 1 | 23 | 11 | 120 | 1 | 3 | 21 | 249 |

2) *New Format*

Alternatively, similar information can be provided in a much more efficient manner as follows:

Go to the web of science (available through Prior Health Sciences Library) and create a marked list containing all your publications. Then go to that marked list and click the button called "Create Citation Report. Then click the button labeled Save to Excel. For however many publication records you have as a total, choose to "Send to a File" Records 1 to n.

This will produce an Excel file. Between this file and the information on the Web of Science report in your browser, you will have more than enough information to make a report as follows.

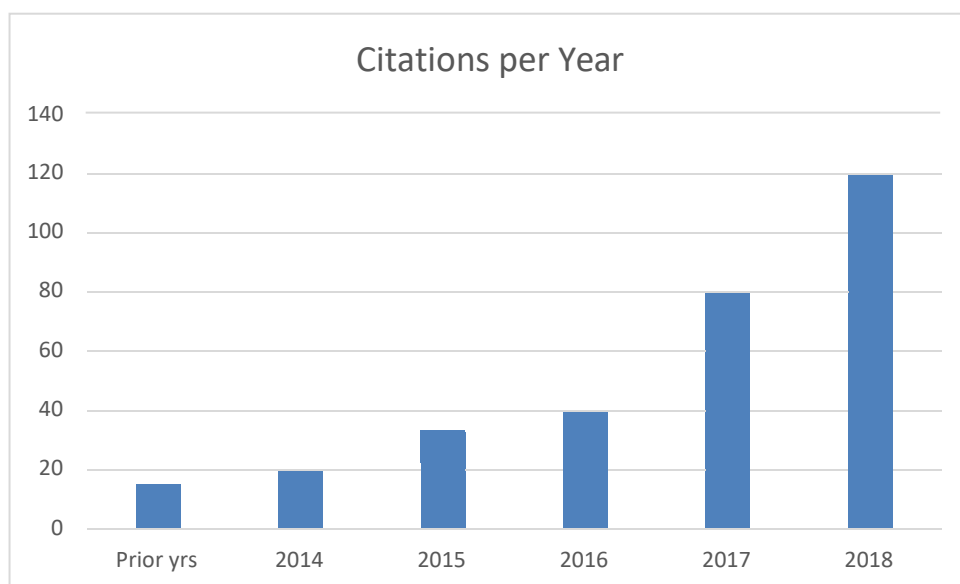
- a. Produce a graph of citations per year.

- b. List the citations per year for each of your papers. Give a brief title of the paper with authors and years to uniquely identify it from your list.
- c. Provide an aggregate analysis of citing articles and self-citations, which can be found on the web of science page where your citations are analyzed.
- d. Describe in text how you produced this report so that a person could verify your results.

Constrain the table in your dossier to the years under consideration in the present dossier, and aggregate all previous years into a column named “Prior Years”. You can also report results from Google Scholar. If your work is not typically published in indexed journals and cannot be captured by Web of Science, then you can recreate similar information from Google Scholar.

The information on self-citations may be lacking in this case, so you will need to explain why you had to report in this manner.

Sample New Format Report



| Paper | Prior yrs | 2014 | 2015 | 2016 | 2017 | 2018 | Total |
|-------------------------------|-----------|------|------|------|------|------|-------|
| Smith and Jones 2012 | 8 | 15 | 7 | 9 | 10 | 11 | 60 |
| Jones and Smith 2013 | 7 | 2 | 5 | 6 | 4 | 6 | 30 |
| Smith, Kyle, and Stewart 2014 | | 1 | 4 | 7 | 9 | 13 | 34 |
| Smith and Stewart 2014 | | 0 | 4 | 8 | 9 | 5 | 26 |
| Smith, Doe, and Stewart 2015 | | | 7 | 1 | 8 | 2 | 18 |
| Smith and Hawk 2015 | | | 6 | 3 | 6 | 9 | 24 |

| Paper | Prior yrs | 2014 | 2015 | 2016 | 2017 | 2018 | Total |
|---------------------------------|------------------|-------------|-------------|-------------|-------------|-------------|--------------|
| Hawk, James, and Smith 2016 | | | | 1 | 5 | 9 | 15 |
| Hawk and Smith 2016 | | | | 1 | 5 | 13 | 19 |
| Stevens and Smith 2016 | | | | 0 | 2 | 7 | 9 |
| Stevens, Hawk, and Smith 2016 | | | | 2 | 13 | 16 | 31 |
| Roberts and Smith 2017 | | | | | 3 | 12 | 15 |
| Roberts, Stevens and Smith 2017 | | | | | 1 | 8 | 9 |
| Roberts, Cline, and Smith 2017 | | | | | 2 | 7 | 9 |
| Smith 2018 | | | | | | 1 | 1 |
| Cline and Smith 2018 | | | | | | 1 | 1 |
| Totals | 15 | 18 | 33 | 38 | 77 | 120 | 301 |

Among these 301 citations, 278 were not self-citations. The H-index for this work is 8.2.

This report was produced using Web of Science. Abstracts were not included, only journal articles. Google scholar shows a total of 384 citations and an H-index of 8.7.

C. Links to Useful Resources

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

Academic Rights and Responsibilities Reaffirmation:

<https://oaa.osu.edu/rightsandresponsibilities.html>

Affirmative Action, Equal Employment Opportunity and Non-Discrimination/Harassment:

<http://hr.osu.edu/policy/policy110.pdf>

American Association of University Professors' Statement on Professional Ethics

<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>

Application for Leave form: <https://eleave.osu.edu>

Code of Student Conduct: <https://trustees.osu.edu/rules/code-of-student-conduct/>

Committee on Academic Misconduct: <https://oaa.osu.edu/coam.html> and
http://senate.osu.edu/?page_id=183

Faculty Rule 3335-3 (administration): <https://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html>

Faculty Rule 3335-5 (governance): <https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>

Faculty Rule 3335-6 (tenure-track faculty appointments):
<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>

Faculty Rule 3335-7 (clinical and research faculty appointments):
<https://trustees.osu.edu/rules/university-rules/chapter-3335-7-rules-of-the-university-faculty-concerning-clinical-faculty-appointment-reappointment-and-nonreappointment-and-promotion.html>

Faculty Rule 3335-8 (instruction): <https://trustees.osu.edu/rules/university-rules/chapter-3335-8-instruction.html>

Kirwan Institute for the Study of Race and Ethnicity: <http://www.kirwaninstitute.org/>

Office of Academic Affairs Governance Documents Webpage:

<http://oaa.osu.edu/governance>

Office of Academic Affairs *Policies and Procedures Handbook*:

<https://oaa.osu.edu/policies-and-procedures-handbook>

Office of Diversity and Inclusion: <https://odi.osu.edu/>

Office of Human Resources Employee and Labor Relations: <https://hr.osu.edu/services/elr/>

Office of Human Resources Employment Services: www.hr.osu.edu/

Office of Human Resources Policies and Forms: <https://hr.osu.edu/policies-forms>

Policy 1.15 (sexual misconduct): <https://hr.osu.edu/public/documents/policy/policy115.pdf>

Policy 6.27 (paid leave): <https://hr.osu.edu/public/documents/policy/policy627.pdf>

Policy 6.45 (unpaid leave): <https://hr.osu.edu/public/documents/policy/policy645.pdf>

Policy on Equal Opportunity:

<https://hr.osu.edu/public/documents/policy/policy110.pdf>

Policy on Faculty Annual Review and Reappointment:

<https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf>

Policy on Faculty Appointments:

<https://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>

Policy on Faculty Compensation:

<https://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>

Policy on Faculty Conflict of Commitment:

<https://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>

Policy on Faculty Financial Conflict of Interest: <http://orc.osu.edu/files/Policy-on-Faculty-Financial-Conflict-of-Interest.pdf>

Policy on Faculty Paid External Consulting:

<https://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>

Policy on Faculty Professional Leave:

<https://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>

Policy on Special Assignment:

<https://oaa.osu.edu/assets/files/documents/specialassignment.pdf>

Rules of the University Faculty: <https://trustees.osu.edu/bylaws-and-rules/university-faculty-rules>

Sample Letter Requesting External Evaluation: <http://oaa.osu.edu/sampledocuments.html>

University Institute for Teaching and Learning: <https://uitl.osu.edu>