

DEPARTMENT OF PATHOLOGY
APPOINTMENTS, PROMOTION AND TENURE DOCUMENT
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I. Preamble

This document is a supplement to Chapters 6 and 7 of the *Rules of the University Faculty* located at <http://trustees.osu.edu/rules/university-rules.html>, the Office of Academic Affairs procedural guidelines for promotion and tenure reviews located at <http://oaa.osu.edu/handbook.html>, and any additional policies established by The Ohio State University (OSU). Should the University and/or the College of Medicine rules and policies change, the Department of Pathology will follow the new rules and policies until this document is appropriately updated. Herein are described, in qualitative terms, the department's criteria for appointments, reappointments, promotion and tenure within the context of the mission of the department and the promotion standards set forth in Section VII of this document. Also described are procedures for conducting Department of Pathology reviews for reappointment, promotion and tenure.

This document describes the department's procedures for conducting annual performance reviews of faculty and reviews for reappointment, promotion and tenure. The document must be drawn up or amended through broad faculty consultation with all voting members of the department according to the principles articulated in paragraph (C)(3) of rule 3335-3-35 of the *Rules of the University Faculty* and must be approved by the Dean of the college and the executive vice president and provost.

Faculty members are evaluated for their contributions to the multi-partite mission of the department, the college, and OSU. Evaluation encompasses accomplishments in research and scholarship, teaching, education, innovation, program development and service, including activities in support of the patient care mission of the department and college.

The Department of Pathology endorses the University's recognition of the value of diverse contributions by individual faculty members toward the realization of the overall mission of the institution. For example, within the tenure-track and non-tenure track there may be many different patterns of scholarly activity that reflect a range of faculty interests, skills, and accomplishments. These different patterns of performance may result in variation in emphasis between teaching, scholarship and service. Although faculty members may choose to place greater emphasis on certain aspects of scholarly activity, and less emphasis on others, the department requires that the faculty member demonstrate excellence in all areas.

All faculty members are to be evaluated for appointment, reappointment and promotion using metrics that reflect the quality and impact of their contributions to the department, college, medical center and OSU in the context of their assigned position descriptions.

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

Appointments, reappointments, promotion, and tenure of candidates in the department must adhere to the Office of Human Resources [Policy 1.10](#) governing affirmative action, equal employment opportunity and non-discrimination/harassment.

This Department of Pathology Appointments, Promotion and Tenure document must be reviewed, and either reaffirmed or revised, upon the appointment or reappointment of the chair. The dean of the College of Medicine, University executive vice president and provost must approve this document to indicate acceptance of the mission of the Department of Pathology and the standards and criteria described herein. In doing so, the responsibility of applying high standards in evaluating existing faculty and candidates for faculty appointment is delegated to the department.

II. MISSION

The term University means one truth or a search for truth and as such, all faculty members, irrespective of rank or series must be engaged in this mission in a way that utilizes their respective strengths. The search for truth involves the discovery or creation of new knowledge (research), the promulgation or dissemination of knowledge (teaching), and the application of knowledge (service).

The primary mission of the Department of Pathology is to promote the health of all humankind and improve care of the ill, advance knowledge, and further the understanding, knowledge, diagnosis and treatment of disease. The department's central commitment is to the diverse and evolving discipline of pathology. It accomplishes its mission through the teaching of students of all levels, conducting clinical, translational and basic research, and providing service to patients, the university and the greater community. The department seeks to accomplish its mission in an outstanding fashion and to be recognized locally, nationally, and internationally for this excellence. Central tenets of this mission are mutual respect and citizenship by its faculty and staff, and the concept that excellence denotes exemplary achievements and continuous improvement of quality.

III. DEFINITIONS

A. COMMITTEE OF THE ELIGIBLE FACULTY

1. TENURE-TRACK FACULTY

The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty whose tenure resides in the department.

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

2. CLINICAL FACULTY

The eligible faculty for appointment reviews of clinical faculty consists of all tenure-track faculty (whose tenure resides in the department) and all clinical faculty.

The eligible faculty for reappointment and promotion of clinical faculty consists of all tenured faculty (whose tenure resides in the department) of equal or higher rank than the candidate, and all non-probationary clinical faculty of equal or higher rank than the candidate excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

3. RESEARCH FACULTY

The eligible faculty for appointment reviews of research faculty consists of all tenure-track faculty (whose tenure resides in the department) and all research faculty.

The eligible faculty for reappointment and promotion reviews of research faculty consists of all tenured faculty (whose tenure resides in the department) of equal or higher rank than the candidate, and all non-probationary research faculty of equal or higher rank than the candidate

excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

4. ASSOCIATED FACULTY

The eligible faculty for appointment reviews of associated faculty consists of all tenure-track faculty (whose tenure resides in the department) and all clinical and research faculty.

The eligible faculty for reappointment and promotion reviews of associated faculty consists of all tenured faculty (whose tenure resides in the department) of equal or higher rank than the candidate, all non-probationary clinical faculty of equal or higher rank than the candidate, and all non-probationary research faculty of equal or higher rank than the candidate excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

5. CONFLICT OF INTEREST

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

B. PATHOLOGY PROMOTION & TENURE COMMITTEE

The Department of Pathology Promotion & Tenure Committee assists the Committee of the Eligible Faculty in managing the personnel and reappointment, promotion and tenure issues. The committee's chair and membership are appointed by the department chair. The term of service is at the chair's discretion. [See Section VII B.]

C. QUORUM

The quorum required to discuss and vote on all personnel decisions is a simple majority of the eligible faculty not on an approved leave of absence. Faculty members who recuse themselves because of a conflict of interest are not counted when determining quorum.

D. RECOMMENDATION FROM THE COMMITTEE OF THE ELIGIBLE FACULTY

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

1. APPOINTMENT

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

2. REAPPOINTMENT, PROMOTION AND TENURE, PROMOTION

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

IV. APPOINTMENTS

The *Rules of the University Faculty* permit the Department of Pathology to make appointments as tenure-track, clinical, research and associated faculty. The appropriate faculty title for initial appointment to the Department of Pathology must reflect these differing qualifications, be congruent with the job description of the position within the department, and be consistent with both the short-term and long-term career plans of the individual.

A. APPOINTMENT CRITERIA

1. TENURE-TRACK FACULTY

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

Appointments to this track are made in accordance with University Rule [3335-6-02](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the department. The appointment process requires the department to provide sufficient evidence in support of a tenure-track faculty appointment so as to ensure the faculty candidate has clearly and convincingly met or exceeded applicable criteria in teaching, scholarship, and service [See Section VII of this document for examples]. Each candidate for appointment will undergo an appropriate faculty review by the department. Consensus in support of appointment must be achieved.

At the time of appointment, probationary tenure-track faculty members will be provided with all pertinent documents detailing department, College of Medicine, and University promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary tenure-track faculty members will be provided with copies of the revised documents.

In clinical departments, each appointee must obtain the appropriate Ohio licensure and other required certifications.

Appointment: Instructor on the Tenure-track

An appointment to the rank of instructor is always probationary. During the probationary period a faculty member does not have tenure and is considered for reappointment annually. Appointments at the rank of instructor are appropriate for individuals who do not yet have the requisite skills or experience to fully assume the range of responsibilities of an assistant

professor. Appointments to this rank may also be made if all of the criteria for the position of assistant professor have been met with the exception that the candidate will not have completed a terminal degree, or other relevant training, at the time of the appointment. When an individual is appointed to the rank of instructor, the letter of offer should indicate the specific benchmarks and achievements required for promotion to assistant professor.

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

Criteria for appointment to the rank of instructor include the following:

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience. Individuals who have completed all the requirements of their terminal degree, but who have not obtained the final degree at the time of initial employment will be appointed as an instructor. In addition, appointment at the rank of instructor is appropriate for individuals who, at the time they join the faculty, do not have the requisite skills or experience to fully assume the full range of responsibilities of an assistant professor.
- Evidence of potential for excellence in scholarship. Such evidence might include peer-reviewed publications in a mentored setting, but insufficient evidence of an independent, creative, and productive program of research with potential for external funding.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the "Statement on Professional Ethics" by the American Association of University Professors [see Appendix C].
- In aggregate, accomplishments related to the above criteria should be sufficiently compelling that the appointee is judged to have significant potential to attain tenure and a distinguished record as a faculty member in the Department of Pathology.

Appointment: Assistant Professor on the Tenure-track

An appointment to the rank of assistant professor is always probationary. During a probationary period a faculty member does not have tenure and is considered for reappointment annually. Tenure cannot be awarded at the rank of assistant professor. An assistant professor must be reviewed for promotion and tenure no later than the 6th year; however, promotion and tenure may be granted at any time during the probationary period when the faculty member's record of achievement so merits. Similarly, a probationary appointment may be terminated at any time subject to the provision of University Rule [3335-6-08](#) and the provision of paragraphs (6), (H), and (I) of University Rule [3335-6-03](#).

Consistent with Faculty Rule [3335-6-09](#), faculty members with significant patient clinical service responsibilities are granted an extended probationary period of up to 11 years, including prior service credit, depending on the pattern of research, teaching, and service workload. An assistant professor with an extended probationary period is reviewed for promotion and tenure no later than the 11th year as to whether promotion and tenure will be granted at the beginning of the 12th year. For individuals not recommended for promotion and tenure after the mandatory review, the 12th year will be the final year of employment.

For appointments at the rank of assistant professor, prior service credit of up to three years may be granted for work experience at the time of the initial appointment. Doing so requires the approval of the eligible faculty, department chair, dean, and executive vice president and provost. Prior service credit shortens a probationary period by the amount of the credit and once granted cannot be revoked except through an approved request to exclude time from the probationary period.

Criteria for appointment at the rank of assistant professor in the tenure-track include:

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

Appointment: Associate Professor with Tenure on the Tenure-track

Criteria for appointment to the rank of associate professor with tenure are identical to the criteria for promotion to associate professor with tenure, as detailed in Section VII of this document. The university will not grant tenure in the absence of permanent residency.

Appointment: Associate Professor without Tenure on the Tenure-track

While appointments to the rank of associate professor may include tenure, a probationary period can be granted after petition to the Office of Academic Affairs. For faculty without patient clinical service responsibilities the probationary period may not exceed four years. For faculty with significant patient clinical service responsibility, the probationary period may not exceed six years. Requests for such appointments require the approval of the department chair, the dean, and the executive vice president and provost.

An appointment to the rank of associate professor without tenure is probationary. During a probationary period a faculty member does not have tenure and is considered for reappointment annually. Criteria for appointment to the rank of associate professor without tenure are identical to the criteria for promotion to associate professor without tenure, as detailed in Section VII of this document. The university will not grant tenure in the absence of permanent residency.

Appointment: Professor with Tenure on the Tenure-track

Criteria for initial appointment to the rank of professor with tenure are identical to the department's criteria for promotion to professor with tenure, as detailed in Section VII of this document. The university will not grant tenure in the absence of permanent residency.

2. CLINICAL FACULTY

The clinical faculty exists for those faculty members whose principal career focus is outstanding teaching, clinical and/or translational research, and delivery of exemplary clinical care. Clinical faculty members will generally not have sufficient protected time to meet the robust scholarship requirements of the tenure-track within a defined probationary period. For this reason, the nature of scholarship for the clinical faculty differs from that in the tenure-track and may be focused on a mixture of academic pursuits including the scholarship of practice, integration, education, as well as new knowledge discovery. Clinical faculty members may choose to distinguish themselves in teaching/innovative pedagogic program development, patient-oriented research, and exemplary clinical care. Clinical faculty members may also choose to distinguish themselves through several portfolios of responsibility including clinician-educator, clinician-scholar, and clinical excellence pathways. These reflect 1) pedagogic excellence as measured by teaching evaluations and innovative teaching practices, modules and publications; 2) excellence in translational science, clinical research and health services (*e.g.*, health care policy and comparative effectiveness research) as measured by quality/best practices, test utilization, biomarkers and predictive factors as they relate to outcome; and 3) exemplary clinical care, unique areas of emphasis in patient management, or outstanding service to the department, college, and medical center. Clinical faculty members are not eligible for tenure and may not participate in promotion and tenure matters of tenure-track faculty. Faculty appointed as instructor or assistant professor in the clinical excellence pathway will have responsibilities focused primarily on direct clinical service. The predominant focus of effort (90% or greater) will be devoted to direct service.

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

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

Appointment: Instructor, Clinical Faculty

Appointment to the rank of instructor is made if all of the criteria for the position of assistant professor have been met with the exception that the candidate will not have completed the terminal degree, or other relevant training, at the time of the appointment. In addition, appointment at the rank of instructor is appropriate for individuals who, at the time that they join the faculty, do not have the requisite skills or experience to fully assume the full range of responsibilities of an assistant professor. When an individual is appointed as an instructor, the

letter of offer should indicate the specific benchmarks and accomplishments that will be necessary for promotion to assistant professor.

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

When an instructor is promoted to assistant professor on the clinical faculty, the years of service as an instructor will not be included in the probationary period. A new letter of offer with a probationary period of three to five years will be issued. Candidates for appointment to the rank of instructor on the clinical faculty will have, at a minimum:

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

Appointment: Assistant Professor, Clinical Faculty

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

This is the appropriate level for initial appointment of persons holding the appropriate terminal degree and the relevant clinical training, who are expected to be involved in full time teaching and clinical service, with more limited contribution to scholarship. This is also the appropriate level for persons assigned major clinical responsibilities who plan to engage principally in education or clinical and translational science research or health service research. Candidates for appointment at this rank are expected to have completed all relevant training, including residency and fellowship where appropriate, consistent with the existing or proposed clinical program goals of the department.

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

- An earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience; and completion of requisite post-doctoral clinical training.
- Evidence of scholarship as demonstrated by activities such as presentation of abstracts or peer reviewed articles as primary, secondary, or corresponding author; or educational or clinical program development leadership; or involvement or leadership in quality or operations initiatives; and potential to advance through the faculty ranks.

- Board certification or eligibility for board certification, in the area(s) of specialty or sub-specialty
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix C].

Appointment: Associate Professor, Clinical Faculty

The criteria for initial appointment at the rank of associate professor on the clinical faculty are identical to those criteria for promotion to this rank as outlined in Section VII of this document.

Appointment: Professor, Clinical Faculty

The criteria for initial appointment at the rank of professor on the clinical faculty are identical to those criteria for promotion to this rank as outlined in Section VII of this document.

3. RESEARCH FACULTY

The research faculty exists for faculty members who focus principally on scholarship. Notably, the standards for scholarly achievement are similar to those for individuals on the tenure-track for each rank. A research faculty member may, but is not required to, participate in educational and service activities. Research faculty members are expected to contribute to the department’s research mission and are expected to demonstrate excellence in scholarship as reflected by high quality peer-reviewed publications and successful competition for NIH or similar funding.

Appointments to the research faculty are made in accordance with Chapter 7 of the *Rules of the University Faculty* [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the department. Unless otherwise authorized by a majority vote of the tenure-track faculty in the Department of Pathology, research faculty must comprise no more than twenty per cent of the number of tenure-track faculty in the department.

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

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

Appointment: Assistant Professor, Research Faculty

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

- An earned doctorate or other terminal degree in the relevant field of study, or possession of equivalent experience.
- Completion of sufficient post-doctoral research training to provide the basis for establishment of an independent research program.
- 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 track record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix C]. Strong potential for career progression and advancement through the faculty ranks.

Appointment: Associate Professor, Research Faculty

The criteria for initial appointment to the rank of associate professor on the research faculty are identical to those criteria for promotion to this rank as outlined in Section VII of this document.

Appointment: Professor, Research Faculty

The criteria for initial appointment to the rank of professor on the research faculty are identical to those criteria for promotion to this rank as outlined in Section VII of this document.

4. ASSOCIATED FACULTY

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

Associated faculty, as defined in the *Rules of the University Faculty* [3335-5-19](#) (B)(3), include “persons with clinical practice titles, adjunct titles, visiting titles, and lecturer titles,” plus “professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than fifty per cent service to the university.” Members of the associated faculty are not eligible for tenure, and may not participate in promotion and tenure reviews of tenure-track, clinical, or research faculty. Persons with associated titles are permitted to participate in college or unit governance where approved by a vote of at least a majority of all of its tenure-track faculty and also clinical and research faculty in those colleges and units where they have been given voting rights. Associated faculty appointments may be made for a maximum of three consecutive years and, with the exception of visiting titles, may be renewed.

Associated faculty members are appointed based on participation in the teaching, patient care, academic, or leadership missions of the department. Unlike other faculty members, associated faculty members may focus on a limited number of the aspects of the department mission. The

criteria for appointment and promotion on the associated faculty differ from those of the clinical and research faculty, consistent with a more focused mission.

At a minimum, all candidates for associated faculty appointments must meet the following criteria.

- Associated faculty with clinical responsibilities must be a licensed physician or health care provider.
- Have written support for appointment by the department chair.
- Have significant and meaningful interaction in at least one of the following mission areas of the department:
 - Teaching of medical students and/or pathology residents or fellows: For community physicians providing outpatient teaching of medical students, meaningful interaction consists of supervising medical students in a pathology setting for at least one month out of the year.
 - Research: These faculty members may collaborate with Department of Pathology faculty members in research projects or other scholarly activities.
 - Administrative roles within the department: This includes participation in committees or other leadership activities
 - Clinical Service: Significant involvement in the care of patients served by the health system and its affiliates.

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments are never compensated. Adjunct faculty appointments are given to individuals who volunteer considerable uncompensated academic service to the Department of Pathology, such as teaching a course, for which a faculty title is appropriate. Criteria for appointment at advanced rank are the same as for promotion. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor. Associated faculty with patient care responsibilities will be given clinical associated appointments. Clinical associated appointments may either be compensated or not compensated. Criteria for appointment at advanced rank are the same as for promotion. Clinical associated faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of clinical faculty.

Lecturer. Appointment as lecturer requires the individual to have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure or promotion.

Senior Lecturer. Appointment as senior lecturer requires the individual to have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion.

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

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members on leave from an academic appointment at another institution are appointed at the rank held in that position. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three consecutive years at 100% FTE.

5. COURTESY APPOINTMENTS

A non-salaried joint appointment for a University faculty member from another department is considered a courtesy appointment. An individual with an appointment in another department may request a courtesy appointment in the Department of Pathology when that faculty member's scholarly and academic activity overlaps significantly with Pathology. Such appointments must be made at the same faculty title as that offered in the primary department. Courtesies appointments are warranted only if they are accompanied by substantial involvement in the academic and scholarly work of the department.

6. TRANSFERS

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

Transfer: Tenure-track to Clinical Faculty

If a faculty member's activities become more aligned with the criteria for appointment to the clinical faculty, they may request a transfer. A transfer request must be approved by the department chair, dean, and executive vice president and provost. The first appointment to the clinical faculty is probationary, and tenure, or the possibility thereof, is revoked.

Transfer: Tenure-track to Research Faculty

If a faculty member wishes to engage exclusively in research, without the multiple demands required of the tenure-track, they may request a transfer to the research faculty. A transfer request must be approved by the department chair, dean, and executive vice president and provost. The first appointment to the research faculty is probationary, and tenure, or the possibility thereof, is revoked.

Transfer: Clinical or Research Faculty to Tenure-track

Transfer from the clinical or research faculty to the tenure-track is not permitted, but clinical and research faculty are eligible to apply for tenure-track positions through a competitive national search.

B. APPOINTMENT PROCEDURES

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

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

The following sections provide general guidelines for faculty searches.

1. TENURE-TRACK FACULTY

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must be consistent with the university policies set forth in the most recent update of *A Guide to Effective Searches*, which can be found at: <http://www.hr.osu.edu/hrpubs/guidesearches.pdf>. Searches for tenure-track faculty proceed as follows:

The dean of the college provides approval for the department to commence a search. The department chair or the individual who has commissioned the search appoints a search committee, usually consisting of three or more faculty members who reflect the field of expertise that is the focus of the search, as well as other fields within the department. The search committee:

- Appoints a diversity advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the University Personnel Postings through the Office of Human Resources Employment Services (hr.osu.edu) and external advertising, subject to the department chair's approval.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that at least one print advertisement is published in one of the discipline's academic journals. Exclusive announcement in electronic media is not sufficient. The University does not grant tenure in the absence of permanent residency ("green card"), and 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 nationally circulated print journal.
- Screens applications and letters of recommendation and presents its findings to the department chair.

On-campus interviews are arranged by the department chair, or his/her designee. Interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students or residents, where appropriate; the department chair; and the dean or designee. In addition, it is recommended that all candidates make a presentation to the faculty, students and/or residents on their scholarly activity.

Following completion of on-campus interviews, the search committee presents its findings and makes its recommendations to the department chair or the individual who has commissioned the search, who then proceeds with the offer of an appointment.

If the offer involves senior rank (associate professor or above), the eligible faculty members must also vote on the appointment. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit.

2. CLINICAL FACULTY

Searches for initial appointment to the clinical faculty should follow the same procedures as those utilized by the department for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview may be based on clinical/professional practice as well as scholarly activity. A national search is required to ensure a diverse pool of highly qualified candidates for all clinical faculty positions. Exceptions to this policy must be requested in advance from the dean of the College of Medicine. Search procedures must be consistent with the university policies set forth in [A Guide to Effective Searches](#).

3. RESEARCH FACULTY

Searches for initial appointment to the research faculty should follow the same procedures as those utilized by the department for tenure-track faculty. A national search is required to ensure a diverse pool of highly qualified candidates for all research faculty positions. Exceptions to this policy must be requested in advance from the dean of the College of Medicine. Search procedures must be consistent with the university policies set forth in [A Guide to Effective Searches](#).

4. ASSOCIATED FACULTY

Initial appointment to a paid associated faculty position should follow the same procedures as those utilized by the department for tenure-track faculty, with the exception that a national search is not required. Appointments to unpaid associated faculty positions require no formal search process.

5. COURTESY APPOINTMENTS

Any department faculty member may propose a 0% FTE (courtesy) appointment for a faculty member from another OSU department. A proposal that describes the uncompensated academic service to the Department of Pathology justifying the appointment should be submitted to the chair. If the proposal is approved by the department chair, an offer will be extended.

V. ANNUAL REVIEW PROCEDURES

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

The department chair, or his/her designee, must conduct an annual review of every faculty member, irrespective of rank, in accordance with University Rule [3335-6-03](#) (C), and the Office of Academic Affairs [Policies and Procedures Handbook](#). The only exception to this guideline is that courtesy appointments do not require formal annual renewal, but continuation of the appointment should reflect ongoing academic involvement as described in the Office of Academic Affairs Policies and Procedures [Volume 1](#): 2.4.1.6.

Procedures

Pathology faculty members must maintain an up-to-date Research in View profile and/or keep an up-to-date curriculum vitae on record with the department. Annual reviews must include a scheduled opportunity for a face-to-face meeting with the department chair. The department chair is required (per Faculty Rule [3335-3-35](#)) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule [3335-5-04](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

A. ANNUAL REVIEW PROCEDURES: PROBATIONARY TENURE-TRACK FACULTY

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

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

If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-04](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

1. FOURTH YEAR REVIEW

Each faculty member in the fourth year of probationary service must undergo a review utilizing the same process as the review for tenure and promotion, with two exceptions: external letters of evaluation will not be solicited and review by the College of Medicine Promotion and Tenure Advisory Committee is not mandatory. The objective of this review will be to determine if adequate progress towards the achievement of promotion and tenure is being made by the candidate.

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

In all cases, the dean independently evaluates all faculty members in their fourth year of probationary appointment and will provide the department chair with a written evaluation of the candidate's progress.

2. EIGHTH YEAR REVIEW

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

3. EXCLUSION OF TIME FROM PROBATIONARY PERIOD

University guidelines for Exclusion of Time from Probationary Period are specified in University Rule [3335-6-03](#)(D), and are reproduced as follows:

- (1) An untenured tenure-track faculty member will have time excluded from the probationary period in increments of one year to reflect the caregiving responsibilities associated with the birth of a child or adoption of a child under age six. Department chairs or school directors will inform the Office of Academic Affairs within one year of the birth of a child or the adoption of a child under age six of a probationary faculty member unless the exclusion of time is prohibited by paragraph (D)(3) of this rule. The probationary faculty member may choose to decline the one-year exclusion of time from the probationary period granted for the birth or adoption of a child under six years of age by so informing her/his TIU head, dean, and the Office of Academic Affairs in writing before April 1 of the new mandatory review year following granting of the declination. The exclusion of time granted under this provision in no way limits the award of promotion and tenure prior to the mandatory review year (see paragraph (D)(2) of this rule). The maximum amount of time that can be excluded from the probationary period per birth event or adoption of children under age six is one year.
- (2) A probationary tenure-track faculty member may apply to exclude time from the probationary period in increments of one year because of personal illness, care of a seriously ill or injured person, an unpaid leave of absence, or various factors beyond the faculty member's control that hinder the performance of the usual range of duties associated with being a successful university faculty member, i.e., teaching, scholarship, or service. Requests to exclude time from the probationary period made under the terms of this paragraph must be submitted to the chair of the department. Requests will be reviewed by the department's promotion and tenure committee which will advise the department chair regarding their appropriateness. Such requests require approval by the department chair, dean, and executive vice president and provost. A request to exclude time from the probationary period for any of these reasons must be made prior to April 1 of the year in which the mandatory review for tenure must occur. The extent to which the event leading to the request was beyond the faculty member's control, the extent to which it interfered with the faculty member's ability to be productive and the faculty member's accomplishments up to the time of the request will be considered in the review of the request.
- (3) A request to exclude time from the probationary period for any reason will not be granted after a nonrenewal notice has been issued nor will previously approved requests to exclude time from the probationary period in any way limit the university's right not to renew a probationary appointment.
- (4) Except in extraordinary circumstances, a maximum of three years can be excluded from the probationary period for any reason or combination of reasons for an instructor, assistant professor or associate professor. Exceptions require the approval of the Tenure Initiating Unit chair, dean, and executive vice president and provost.

- (5) Tenure-track faculty members will be reviewed annually during their probationary periods regardless of whether time is excluded from that period for any of the above reasons unless their absence from campus during an excluded period makes conduct of such a review impractical.
- (6) For purposes of performance reviews of probationary faculty, the length of the probationary period is the actual number of years of employment at this university less any years of service excluded from the probationary period under the terms of this rule. Expectations for productivity during the probationary period cannot be increased as a consequence of exclusions of time granted under the terms of this rule.

B. ANNUAL REVIEW PROCEDURES: TENURED FACULTY

Non-probationary tenure-track faculty members will be reviewed annually by the department chair or his/her designee. The department chair or his/her designee will meet with each faculty member to discuss his or her performance and future plans and goals; and will prepare a written evaluation in narrative format.

C. ANNUAL REVIEW PROCEDURES: CLINICAL FACULTY

The annual review process for probationary and non-probationary clinical faculty is identical to that for tenure-track probationary and tenured faculty respectively.

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

D. ANNUAL REVIEW PROCEDURES: RESEARCH FACULTY

The annual review process for probationary and non-probationary research faculty is identical to that for tenure-track probationary and tenured faculty respectively.

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

E. ANNUAL REVIEW PROCEDURES: ASSOCIATED FACULTY

When considering reappointment of associated faculty members, at a minimum, their contribution to the department will be assessed and documented for the individual's personnel file. This will occur via a self-evaluation form. Neither a formal written review nor a meeting is required. The exception to the above is that paid full-time associated faculty (75% or greater FTE) are required to have a written annual review conducted by the department chair or his/her designee. The same procedure used for probationary tenure-track faculty should be used. There is no presumption of renewal of contract.

VI. MERIT SALARY INCREASES AND OTHER REWARDS

Merit salary increases and other rewards made by the department will be made consistent with this Appointments, Promotion and Tenure document and other relevant policies, procedures, practices, and standards established by: (1) the [College of Medicine](#), (2) the [Rules of the University Faculty](#), (3) the Office of Academic Affairs [Policies and Procedures Handbook](#), and (4) the [Office of Human Resources](#).

A. MERIT SALARY INCREASES AND OTHER REWARDS: CRITERIA

Except when the university dictates any type of across the board salary increase, all funds for annual salary increases are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that salaries reflect the market and are internally equitable.

Meritorious performance in teaching, scholarship, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

B. MERIT SALARY INCREASES AND OTHER REWARDS: PROCEDURES

Each faculty member must undergo an annual review utilizing the principles outlined in Section V of this document. The department chair will compare the faculty member's performance to stated expectations and to those recorded in this Appointments, Promotion and Tenure document, and then determine an appropriate level of merit salary increase (if any). Other rewards will be determined in a similar manner.

C. MERIT SALARY INCREASES AND OTHER REWARDS: DOCUMENTATION

Documentation for the purposes of determining merit salary increases will use the same standards as are applied for considerations of promotion and/or tenure. These standards are described in Section VII of this document.

VII. PROMOTION AND TENURE, AND PROMOTION REVIEWS

A. CRITERIA

Outlined below are the department's formal criteria for academic advancement, including promotion for all faculty and awarding of tenure.

In evaluating a candidate's qualifications in scholarship, teaching and service, reasonable flexibility will be exercised. As the department diversifies and places new emphasis on interdisciplinary endeavors and program development, instances will arise in which the proper work of a faculty member may depart from established academic patterns, especially with regard to awarding tenure. Thus, care will be exercised to apply criteria flexibly, but without compromise in requiring the essential qualifications for promotion.

Insistence upon this high standard for faculty is necessary for the maintenance and enhancement of the university as an institution dedicated to the discovery and transmission of knowledge.

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

1. PROMOTION OF TENURE-TRACK FACULTY

a. Associate with Tenure

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

Scholarship: Scholarship is broadly defined as the discovery and dissemination of new knowledge. Excellence in scholarship is demonstrated by:

- Achievement of a national reputation for expertise and impact in one’s field of endeavor. Objective examples of a national reputation include:
 - Service on NIH or equivalent grant review panels.
 - Participation on steering, guideline or advisory committees.
 - Selection for service in a national professional society.
 - Invitation for national lectureships or scholarly reviews (invitations for lectureships at institutions with which the candidate has a previous relationship will not be weighed as heavily as invitations at institutions with which the candidate has no previous relationship).
 - Receipt of national scientific awards.
 - Other measures of national impact.
- Candidate should demonstrate contributions to scholarship as reflected by:
 - As a general guideline 15-20 peer-reviewed research publications as first or senior author in journals highly regarded in the specialty field, regardless of impact factor; **OR** 5-10 peer-reviewed research publications in journals with impact factors of 8 or more, as first or last author since appointment as assistant professor. (For clinicians seeking tenure, the time line is extended to the 11th year of appointment)
 - Research publications as first or senior author in a top tier journal, whose reports are broadly recognized as the equivalent of multiple publications in solid lower tier journals, will receive proportionally greater weight in the evaluation process.
- Participation in collaborative, multidisciplinary research and team science, especially to the extent that the faculty member’s record of collaborative scholarship includes

manuscripts on which authorship is first, senior, or corresponding; **OR** the individual input of the faculty member as a middle author is uniquely contributory and clearly evident.

- The development of a competitive, innovative and distinctive program of scholarship is also evidenced by:
 - Acquisition of peer-reviewed, nationally competitive extramural support as a principal investigator or co-principal investigator.
 - Status as principal investigator of a project or a program grant.
 - Funding by the National Institutes of Health or a similar level extramural agency is required for promotion and/or tenure in the Department of Pathology. The most weight is given to principal investigator or co-principal investigator status but significant co-investigator status (>10%) is recognized. Ideally, sustainability of the research program will be demonstrated by renewal of the NIH award and/or by garnering a second distinct NIH grant and/or another nationally competitive, peer reviewed grant.
 - Other nationally competitive, peer reviewed funding, including support from national charitable foundations (e.g. American Heart Association or American Cancer Society), industry, or federal entities such as the Centers for Disease Control and Prevention and the National Science Foundation will satisfy the criterion for nationally competitive peer reviewed funding should evidence exist of a sustained record of funding from these types of agencies.
 - Funding through pharmaceutical or instrumentation companies for investigator-initiated proposals, or as local principal investigator for multi-center trials is recognized but does not carry the same weight as NIH-level funding, as described above.
 - Support for a research program through creation of spin-off companies is recognized but does not carry the same weight as NIH-level funding, as described above.
- For clinicians seeking tenure evidence of at least co-investigator status in one of the grant categories listed above is a prerequisite to tenure.

Entrepreneurship is a special form of scholarship valued by the Department of Pathology. Entrepreneurship includes, but may not be limited to, invention disclosures, software development, materials transfers, technology commercialization, patents and copyrights, formation of startup companies, and licensing and option agreements. Inasmuch as there are no expressly defined metrics for entrepreneurship, the Department of Pathology will analyze these flexibly. Generally, invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding, patents will be considered equivalent to an original peer-reviewed manuscript, licensing activities that generate revenues will be considered equivalent to extramural grant awards, and materials transfer activities will be considered evidence of national (or international) recognition and impact. These entrepreneurial activities will be recognized as scholarly or service activities in the promotion and tenure dossier but will not substitute for a sustained publication record and grant support.

Criteria for research excellence within a discipline or field may vary with time. These guidelines are intended to maintain flexibility in the evaluation of a faculty member's research productivity. Overall, publication as first or senior author in the field's highest impact factor journals is an important variable that converges with other factors such as the extent of external funding, invited lectures, invited manuscripts, editorial boards, peer-review panels, and external letters of evaluation in the decision to promote and award tenure. Although the total body of scholarship over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on scholarly achievements while a faculty

member at The Ohio State University. It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive tenure or promotion decision, especially if it occurs in isolation or in the context of poor performance in other areas.

Teaching and Mentoring: A distinctive record of teaching and mentoring excellence is required for promotion and tenure and includes documented training of individuals or groups, such as graduate students, medical students, medical research fellows, and residents in research skills or techniques. Excellence is demonstrated by:

- Positive evaluations by students, residents, fellows, local colleagues and peer feedback based on presentations at other academic institutions, tutorials at scientific conferences, or meetings or presentations at other medical centers or hospitals.
- Teaching awards and other honors.
- Favorable impact on teaching and training programs, including curricular innovation, new teaching modalities or methods of evaluating teaching, and program or course development.
- Development of impactful, innovative programs that integrate teaching, research and patient care.
- Active participation as a mentor in training grants such as NIH T32 or K-awards is highly valued as a teaching and mentoring activity.

Service: Service is broadly defined to include administrative service to the department, college and university, exemplary patient care, program development, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the university. Evidence of service can include:

- Appointment or election to Department of Pathology, College of Medicine, Hospital, and/or OSU committees and affirmative action or mentoring activities.
- Journal editorships, reviewer for journals or other learned publications, offices held and other service to local and national professional societies.
- Reviewer of proposals, external examiner, service on panels and commissions, program development, professional consultation to industry, government, and education.
- Multiple *ad hoc* or regular NIH study section membership.
- Development of excellence in clinical service with sufficient workload to support scholarly effort, if applicable [professional expertise provided as compensated *outside* professional consultation alone is insufficient to satisfy the service criterion].

b. Associate without Tenure

Criteria for promotion to associate professor without tenure will require a level and pattern of achievement that demonstrates the candidate is making significant progress toward tenure, but has not yet achieved all the requisite criteria for promotion with tenure. It is expected that promotion to associate professor without tenure will be common in the Department of Pathology among scholars with clinical roles prior to completion of the 11 year probationary period. The department may propose a faculty member for promotion consideration (without tenure) in cases where a faculty member is making progress but has not achieved the necessary requirements for tenure. In addition, faculty committees (department or college) or administrators (chair or dean) may determine that a faculty member's accomplishments do not merit tenure and may recommend promotion without tenure even if a faculty member has requested promotion with tenure. Promotion without tenure may only occur if a candidate is not in the mandatory review year. If a clinician candidate is promoted without tenure, the tenure review must occur within six years, and no later than the mandatory review year, whichever comes first.

Scholarship: Qualitative indicators consistent with promotion without tenure might include an advancing record of scholarly excellence that demonstrates substantial progress toward meeting the scholarship expectations for the awarding of tenure, indicating clear evidence of escalating productivity late in the interval of probationary status, indicating acquisition of momentum that will propel the candidate toward the sustained record of productivity required for promotion.

- As a general guideline 10-15 total peer-reviewed research publications as first or senior author in journals highly regarded in the specialty field, regardless of impact factor; **OR** 2-5 peer-reviewed research publications in journals with impact factors of 8 or more as first or last author since appointment as assistant professor.
- This may be demonstrated by 5-10 publications in journals highly regarded in the specialty field, since appointment to assistant professor. Publications in journals of lesser impact that reflect the preliminary stages of development of a research career, or a predominance of publications in which the candidate is not first or senior author, are also examples.
- Criteria for a promising trajectory in extramural funding might be reflected by serving as a PI or multiple-PD/PI on a new NIH grant award, as co-investigator on several NIH projects, as PI on local extramural grants, or as local principal investigator for multi-center clinical trials.
- PI on an R21, R03 or co-investigator on an R01 plus PI status on a major national grant; or PI status on Pharma grants; or patent/inventorship; or an unfunded NIH R01 with a score between the 10th and 18th percentile for a new investigator, until average pay lines exceed 18th percentile.
- Evidence of an emerging national recognition might include invitations to lecture at statewide or regional institutions or scientific meetings. Although the quality of scholarship is of the utmost importance, quantity is also important, and the record of accomplishment must demonstrate discovery of a substantial body of important, new knowledge.

Teaching and Mentoring: Indicators of teaching consistent with promotion without tenure might include:

- A record of teaching excellence involving a single group of trainees.
- A clear trend of improving teaching evaluations.
- Divisional (as opposed to department or college-wide) teaching awards.
- Evaluations for presentations at other academic institutions, scientific or professional societies, or other hospitals.

Service: Indicators of service consistent with promotion without tenure might include

- Service as a member or chair of committees within the department or college, but the absence of significant service roles at the national level.
- Activities as an ad hoc reviewer for journals, or service on the advisory board for local organizations.
- Ad hoc NIH study section membership or committee work for national society.

c. Professor

Awarding promotion to the rank of professor with tenure must be based upon clear and unambiguous evidence that the candidate has a sustained, eminent record of achievement recognized nationally and internationally. The general criteria for promotion in scholarship, teaching and service require more advanced and sustained quantity, quality and impact than

that required for promotion to associate professor. Importantly, the standard for external reputation is substantially more rigorous than for promotion to associate professor with tenure. This record of excellence must be evident from activities undertaken and accomplishments achieved since being appointed or promoted to the rank of associate professor.

Scholarship: A sustained record of external funding and an enhanced quality and quantity of scholarly productivity as an associate professor is required for promotion to professor.

Candidates for promotion to professor should have:

- 35-50 total peer-reviewed research publications as first or senior author in journals highly regarded in the specialty field, regardless of impact factor; **OR** 10-15 peer-reviewed research publications in journals with impact factors of 8 or more, as first or last author.
- As a guideline 20 peer-reviewed publications since promotion to associate professor.
- Clear evidence of an international reputation including:
 - Election to a leadership position in an international society or repetitive appointments to a national office, service on a national committee or task force chair, chair of an NIH or other federal review panel, regular membership on an NIH study section, peer recognition/awards for research, and editorships and lectures in international venues.
- Candidates for promotion will be expected to have developed and maintained nationally competitive and peer reviewed extramural funding to support their research program including sustained NIH funding.
 - At a minimum, basic science candidates for promotion to professor must be a PI or multiple-PD/PI on at least one NIH funded R01 or equivalent grant with a history of at least one competitive renewal and another nationally competitive grant, or have simultaneous funding on two NIH awards.
 - For clinician scientists seeking promotion to professor accommodation will be made in their grant requirements based on their clinical duties.

Entrepreneurship is a special form of scholarship valued by the Department of Pathology. Entrepreneurship includes, but may not be limited to, invention disclosures, software development, materials transfers, technology commercialization, patents and copyrights, formation of startup companies, and licensing and option agreements. Inasmuch as there are no expressly defined metrics for entrepreneurship, the Department of Pathology will analyze these flexibly. Generally, invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding, patents will be considered equivalent to an original peer-reviewed manuscript, licensing activities that generate revenues will be considered equivalent to extramural grant awards, and materials transfer activities will be considered evidence of national (or international) recognition and impact. These entrepreneurial activities will be recognized as scholarly or service activities in the promotion and tenure dossier but will not substitute for a sustained publication record and grant support.

Criteria for research excellence within a discipline or field may vary with time. These guidelines are intended to maintain flexibility in the evaluation of a faculty member's research productivity. Overall, publication as first or senior author in the field's highest impact factor journals is an important variable that converges with other factors such as the extent of external funding, invited lectures, invited manuscripts, editorial boards, peer-review panels, and external letters of evaluation in the decision to promote and award tenure. Although the total body of scholarship over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on scholarly achievements while a faculty member at The Ohio State University. It should be appreciated that scholarship exceeding

the specified range is not a guarantee of a positive tenure or promotion decision, especially if it occurs in isolation or in the context of poor performance in other areas.

Teaching and Mentoring: A record of teaching excellence as an associate professor must continue to justify promotion to the rank of professor. Evidence for exemplary teaching includes but is not limited to:

- Outstanding student and peer evaluations.
- Course or workshop leadership and design.
- A training program directorship.
- Teaching awards.
- Organization of national course and curricula.
- Participation in specialty boards or Residency Review Committees of the Accreditation Council for Graduate Medical Education.
- Active participation as a mentor in training grants such as NIH T32 or K-awards is highly valued as a teaching and mentoring activity.
- Mentorship of junior faculty may also demonstrate teaching excellence. It is presumed this will take the form of a primary mentoring relationship, and not just ad hoc career coaching. Candidates should evidence mentoring relationships by providing mentees' evaluations.

Service: Promotion to the rank of professor requires service with distinction to the department, college, and OSU, and in national and international professional societies.

Service can include leadership roles:

- On department, college and/or OSU committees.
- In professional organizations and journal editorships.
- As a board examiner.
- Service on panels and commissions.
- On committees for program development.
- Professional consultation to industry, government, and/or education.

2. PROMOTION OF CLINICAL FACULTY

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

Clinical faculty members may continue their service to the department and OSU 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 strive for continued improvement in all academic areas as measured by meeting or exceeding the requirements for promotion to the next faculty rank.

The awarding of promotion to the rank of clinical faculty associate professor must be based upon clear and convincing evidence that the candidate has developed a national level of impact and recognition since being appointed to the rank of assistant professor. Clinical faculty members typically pursue careers as clinician scholars or clinician educators.

In the circumstance where individuals are assigned major responsibilities (90% time or greater, as determined by the pathology chair) for clinical care and clinical administrative activities, faculty members may seek promotion for excellence in activities categorized as “scholarship of practice” (or “scholarship of application”). The clinical time commitment of these individuals may not allow the achievement of personal national recognition for their accomplishments; however, their unique contributions serve to confer a change in the scope and the nature of practice in his or her own discipline and thus enhance the national recognition of the medical center or their assigned hospital. For these individuals, their contribution to the regional and national recognition of the medical center may serve as a proxy for individual national recognition.

a. Associate, Clinician Educator Pathway

The awarding of promotion to the rank of clinical faculty associate professor, clinician-educator pathway, should be based upon clear and convincing evidence that the candidate has developed a national level of impact and recognition as a clinician educator since being appointed to the rank of assistant professor.

Scholarship: The candidate should demonstrate contributions to scholarship as reflected by:

- Primary or senior authorship of 5-10 peer-reviewed journal publications and scholarly review articles and/or web-based or video-teaching modules presented to a regional/national audience since being appointed as an assistant professor at OSU
- Local leader of at least one nationally funded or multi-institutional educational project or participation as the lead in new OSU and regional/national educational programs.
- Defined focus in the training of future professionals in the area of expertise.
- Local leader of at least one nationally funded or international educational project or participation as the lead in new OSU and regional/national educational programs.

Teaching and Mentoring: A distinctive record of teaching and mentoring excellence is required for promotion. Excellence is demonstrated by:

- Positive evaluations by students, residents, fellows, local colleagues and national peers.
- Teaching awards and other honors.
- Favorable impact on teaching and training programs, including curriculum innovation, new teaching modalities or methods of evaluating teaching, and program or course development.
- Development of impactful, innovative programs that integrate teaching, research and patient care.
- Evaluations and peer feedback based on presentations at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals.
- Participation in specialty boards such as Resident Review Committees and the Accreditation Council for Graduate Medical Education.
- Active participation as a mentor in training grants such as NIH T32 or K-awards and other such mentored programs is highly valued as a teaching and mentoring activity.

Service: Service is broadly defined to include administrative service to the department, exemplary patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the university. Evidence of service should include:

- Recognition in the provision of exemplary patient care.

- Appointment or election to Department of Pathology, College of Medicine, Hospital, and/or University committees and affirmative action or mentoring activities.
- Evidence of professional service to the faculty member's discipline should include journal editorships, reviewer for journals or other learned publications, offices held and other service to local and national professional societies.
- Evidence of the provision of professional expertise to public and private entities beyond the University includes: reviewers of proposals, external examiner, service on panels and commissions, program development, professional consultation to industry, government, and education.
- Professional expertise provided as compensated outside professional consultation alone is insufficient to satisfy the service criterion.

b. Professor, Clinician Educator Pathway

The awarding of promotion to the rank of clinical faculty professor, clinician-educator pathway, must be based upon clear and convincing evidence that the candidate has developed a national level of leadership or international recognition as a teacher since being appointed to the rank of associate professor.

Scholarship: The candidate must demonstrate sustained contributions to scholarship as reflected by:

- Primary or senior authorship of 10-20 total peer-reviewed journal publications and scholarly review articles, with 5-10 peer-reviewed journal publications and scholarly review articles and/or web-based or video-teaching modules presented to a regional/national audience since being appointed as an associate professor at OSU.
- National leader of at least one nationally funded or multi-institutional educational project.

Teaching and Mentoring: A record of teaching excellence as an associate professor must continue to justify promotion to the rank of professor. The faculty member should make new, unique and impactful contributions to the teaching mission. Evidence for exemplary teaching includes:

- Positive evaluations by students, residents, fellows, local colleagues and national peers.
- Teaching awards and other honors.
- Favorable impact on teaching and training programs, include curriculum innovation, new teaching modalities or methods of evaluating teaching, and program or course development.
- Development of impactful, innovative programs that integrate teaching, research and patient care.
- Evaluations and peer feedback based on presentations at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals.
- Active participation as a mentor in training grants or other such mentoring programs is highly valued as a teaching and mentoring activity.
- Participation in specialty boards such as Resident Review Committees and the Accreditation Council for Graduate Medical 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. Formal documentation of mentoring should occur no less than bi-annually. Documentation will consist of items reviewed by the mentor and mentee that would include; a timeline of anticipated dates of completion for various activities, and by biannual evaluations of the mentor by the mentee.

Service: Promotion to the rank of professor requires continued service with distinction to the Department of Pathology, the Hospital, College of Medicine, University, or in a national/international context. The faculty member should make new, unique and impactful service contributions. Criteria include:

- Recognition in the provision of exemplary patient care.
- Evidence of professional service to the faculty member's discipline should include journal editorships, reviewer for journals or other learned publications, offices held and other service to local and national professional societies.
- Evidence of the provision of professional expertise to public and private entities beyond the University includes: reviewers of proposals, external examiner, service on panels and commissions, program development, professional consultation to industry, government, and education.
- Professional expertise provided as compensated outside professional consultation alone is insufficient to satisfy the service criterion.
- Participation in and appointment to management positions in College of Medicine, University and national committees.
- Task forces and advisory groups and other leadership roles leading to the betterment of the organization being served.

c. Associate, Clinician Scholar Pathway

The awarding of promotion to the rank of clinical faculty associate professor, clinician-scholar pathway, must be based upon clear and convincing evidence that the candidate has developed a national level of impact and recognition as a clinician scientist since being appointed to the rank of assistant professor.

Scholarship: The candidate must demonstrate contributions to scholarship as reflected by:

- Authorship of 10-15 peer-reviewed journal publications, scholarly review articles and case reports with a significant number being primary, senior, or corresponding author since being appointed as an assistant professor at OSU.
- Participation as a principal investigator or co-investigator on at least two clinical trials or other nationally funded grants in basic, translational or clinical research projects or in clinical trials as evidenced by either salary support or publications.
- Entrepreneurship and inventorship are also evidence of scholarly activity, as described in Section VII [Criteria for promotion to associate professor with tenure], and will be viewed favorably.

Teaching and Mentoring: A record of teaching and mentoring excellence is required for promotion. Excellence is demonstrated by:

- Positive evaluations by students, residents, fellows, local colleagues and national peers.
- Teaching awards and other honors.
- Teaching excellence demonstrated through evaluations and peer feedback based on presentations at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, and the like.
- Active participation as a mentor in training grants such as NIH T32 or K-awards and other such mentored programs is very highly valued as a teaching and mentoring activity.

Service: Service is broadly defined to include administrative service to the university, exemplary patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the

provision of professional expertise to public and private entities beyond the university.
Evidence of service can include

- Appointment or election to Department of Pathology, College of Medicine, Hospital, and/or OSU committees and affirmative action or mentoring activities.
- Journal editorships, reviewer for journals or other learned publications, offices held and other service to local and national professional societies.
- Reviewer of proposals, external examiner, service on panels and commissions, program development, professional consultation to industry, government, and education.

d. Professor, Clinician Scholar Pathway

The awarding of promotion to the rank of clinical faculty professor, clinician-scholar pathway, must be based upon clear and convincing evidence that the candidate has maintained a national level of recognition as a clinician scientist since being appointed to the rank of associate professor.

Scholarship: The candidate must demonstrate contributions to scholarship as reflected by

- Authorship of 25-40 total publications with 15-25 peer-reviewed journal publications, scholarly review articles and case reports since being appointed as an Associate Professor, with a significant number being primary, senior, or corresponding author.
- Participation as an investigator or co-investigator on multiple clinical trials or other nationally funded basic, translational or clinical research projects or in clinical trials as evidenced by either salary support or publications.
- Entrepreneurship and inventorship are also evidence of scholarly activity, as described in Section VII [Criteria for promotion to associate professor with tenure], and will be viewed favorably.

Teaching and Mentoring: A record of teaching excellence as an associate professor must continue to justify promotion to the rank of professor. Excellence is demonstrated by:

- Positive evaluations by students, residents, fellows, local colleagues and national peers.
- Teaching awards and other honors.
- Teaching excellence demonstrated through evaluations and peer feedback based on presentations at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, and the like.
- Active participation as a mentor in training grants such as NIH T32 or K-awards and other such mentored programs is very highly valued as a teaching and mentoring activity.
- 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. Formal documentation of mentoring should occur no less than bi-annually. Documentation will consist of items reviewed by the mentor and mentee that would include; a timeline of anticipated dates of completion for various activities, and by biannual evaluations of the mentor by the mentee.

Service: Promotion to the rank of professor requires service with distinction to the department, college, OSU, and in a national context. The faculty member should have made new and impactful service contributions as an associate professor. Candidates should have led the development of new and innovative clinical or clinical research programs that received national recognition and participated in leadership positions of learned academic education professional societies. Evidence of service can include

- Appointment or election to Department of Pathology, College of Medicine, Hospital, and/or OSU committees and affirmative action or mentoring activities.

- Journal editorships, reviewer for journals or other learned publications, offices held and other service to local and national professional societies.
- Reviewer of proposals, external examiner, service on panels and commissions, program development, professional consultation to industry, government, and education.

e. Associate, Clinical Excellence Pathway

Service: One of the most important measures of excellence in the clinical excellence pathway would be evidence that activities or innovations of an individual faculty member have contributed to a change in the scope and the nature of practice in his or her own discipline. Another piece of evidence could be the development of new and innovative approaches to the clinical management of challenging clinical problems, both within OSU as well as regionally. Additional evidence includes the development and leading of new clinically oriented conferences that enhance clinical care at OSU. Metrics should include:

- Evidence supporting excellence in clinical performance including clinical measures such as quality indicators and referral patterns from outside the organization.
- Establishment of quality improvements or systems-based changes that result in enhancement of the care provided to OSU Medical Center patients.
- Demonstration of dissemination of peer reviewed data and expertise in the form of grand rounds, clinical practice guidelines, peer reviewed or invited publications, seminars, invited presentations, podcasts, websites, small group activities with peer reviewed data and internal benchmarking.
- Demonstration of collaboration with researchers and educators in the department and beyond.
- Assuming a leadership role in the department, or other regional leadership position.

f. Professor, Clinical Excellence Pathway

Service: The awarding of promotion to the rank of clinical faculty professor, clinical excellence pathway, must be based upon clear and convincing evidence that the candidate's work has maintained a national impact and recognition for clinical excellence and innovation since being appointed to the rank of associate professor. Metrics should include:

- Evidence supporting excellence in clinical performance including clinical measures such as quality indicators and referral patterns from outside the organization.
- Establishment of quality improvements or systems-based changes that result in enhancement of the care provided to OSU Medical Center patients.
- Demonstration of dissemination of peer reviewed data and expertise in the form of grand rounds, clinical practice guidelines, peer reviewed or invited publications, seminars, invited presentations, podcasts, websites, small group activities with peer reviewed data and internal benchmarking.
- Demonstration of collaboration with researchers and educators in the department and beyond.
- Patient referrals from throughout the United States.
- National awards for clinical excellence and innovation are clear indicators of achievement.
- Appointment or election to leadership positions in national organizations within your area of expertise.

3. PROMOTION OF RESEARCH FACULTY

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

a. Associate

Promotion to the rank of research associate professor occurs when a faculty member exhibits clear and sustained evidence of excellence in the discovery and dissemination of new knowledge, as demonstrated by a national level of significance and recognition of scholarship.

Scholarship: Scholarship is broadly defined as the discovery and dissemination of new knowledge. Excellence in scholarship is demonstrated by:

- Achievement of a national reputation for expertise and impact in one's field of endeavor. Objective examples of a national reputation include:
 - Service on NIH or equivalent grant review panels.
 - Participation on steering, guideline or advisory committees.
 - Selection for service in a national professional society.
 - Invitation for national lectureships or scholarly reviews (invitations for lectureships at institutions with which the candidate has a previous relationship will not be weighed as heavily as invitations at institutions with which the candidate has no previous relationship).
 - Receipt of national scientific awards.
 - Other measures of national impact.
- Discovery of a substantial body of original knowledge. Candidates for promotion to associate research professor should have:
 - As a general guideline 25-30 peer-reviewed research publications as first or senior author in journals highly regarded in the specialty field, regardless of impact factor; **OR** 5-10 peer-reviewed research publications regardless of authorship position in journals with impact factors of 8 or more since appointment to research assistant professor
 - Research publications as first or senior author in a top tier journal, whose reports are broadly recognized as the equivalent of multiple publications in solid lower tier journals, will receive proportionally greater weight in the evaluation process.
- Participation in collaborative, multidisciplinary research and team science, especially to the extent that a faculty member's record of collaborative scholarship includes manuscripts on which authorship is first, senior, or corresponding; **OR** the individual input of the faculty member as a middle author is uniquely contributory and clearly evident.
- The development of a competitive, innovative and distinctive program of scholarship is also evidenced by
 - Acquisition of peer-reviewed, nationally competitive extramural support as a principal investigator or co-principal investigator.
 - Status as principal investigator of a project or a program grant.
 - Funding by the National Institutes of Health or a similar level extramural agency is required for promotion in the Department of Pathology. The most weight is given to principal investigator or co-principal investigator status but significant co-investigator status (>10%) is recognized.
 - Other nationally competitive, peer reviewed funding, including support from national charitable foundations (e.g. American Heart Association or American Cancer Society), industry, or federal entities such as the Centers for Disease Control and Prevention and the National Science Foundation will satisfy the criterion for nationally competitive peer reviewed funding should evidence exist of a sustained record of funding from these types of agencies.

- Funding through pharmaceutical or instrumentation companies for investigator initiated proposals, or as local principal investigator for multi-center trials is recognized but does not carry the same weight at NIH-level funding, as described above.
- Support for a research program through creation of spin-off companies is recognized but does not carry the same weight at NIH-level funding, as described above.

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

Criteria for research excellence within a discipline or field may vary with time. These guidelines are intended to maintain flexibility in the evaluation of a faculty member's research productivity. Overall, publication as first or senior author in the field's highest impact factor journals is an important variable that converges with other factors such as the extent of external funding, invited lectures, invited manuscripts, editorial boards, peer-review panels, and external letters of evaluation in the decision to promote and award tenure. Although the total body of scholarship over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on scholarly achievements while a faculty member at The Ohio State University. It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive tenure or promotion decision, especially if it occurs in isolation or in the context of poor performance in other areas.

b. Professor

Awarding promotion to the rank of research professor must be based upon clear and convincing evidence that the candidate has a sustained, eminent record of national leadership and/or international achievement and recognition. Importantly, the standard for external reputation is substantially more rigorous than for promotion to research associate professor. This record of excellence must be evident from activities undertaken and accomplishments achieved since being appointed or promoted to the rank of research associate professor.

Scholarship: A sustained record of external funding and an enhanced quality and quantity of scholarly publications as a research associate professor is required for promotion to the rank of research professor.

- Clear evidence of an international reputation including:
 - Election to a leadership position in an international society or repetitive appointments to a national office
 - Service on a national committee or task force chair
 - Chair of an NIH or other federal review panel
 - Regular membership on an NIH study section
 - Peer recognition or awards for research
 - Editorships and lectures in international venues (invitations for lectureships at institutions with which the candidate has a previous relationship will not be weighed

- as heavily as invitations at institutions with which the candidate has no previous relationship).
- Candidates for promotion will be expected to have developed and maintained nationally competitive and peer reviewed extramural funding to support their research program including sustained NIH funding.
 - At a minimum, candidates for promotion to research professor must be a PI or multiple-PD/PI on at least one NIH funded R01 or equivalent grant with a history of at least one competitive renewal and another nationally competitive grant, or have simultaneous funding on two NIH awards.
 - Other measures of national/international impact.
 - Discovery of a substantial body of original knowledge. Objective examples include:
 - As a general guideline, 40-50 total peer-reviewed research publications as first or senior author in journals highly regarded in the specialty field, regardless of impact factor; **OR** 10-15 total peer-reviewed research publications regardless of authorship position in journals with impact factors of 8 or more.
 - Research publications as first or senior author in a top tier journal, whose reports are broadly recognized as the equivalent of multiple publications in solid lower tier journals, will receive proportionally greater weight in the evaluation process.
 - As a general guideline, 20-30 publications since promotion to research associate professor to persuasively characterize the faculty member's continued influence in discovery of new knowledge in their field; thus, both quality and quantity are important considerations.
 - Participation in collaborative, multidisciplinary research and team science, especially to the extent that a faculty member's record of collaborative scholarship includes manuscripts on which authorship is first, senior, or corresponding; **OR** the individual input of the faculty member as a middle author is uniquely contributory and clearly evident.
 - The sustained record of a competitive, innovative and distinctive program of scholarship is also evidenced by:
 - Acquisition of peer-reviewed, nationally competitive extramural support as a principal investigator or co-principal investigator.
 - Status as principal investigator of a project or a program grant.
 - Funding by the National Institutes of Health or a similar level extramural agency is required for promotion and/or tenure in the Department of Pathology or College of Medicine; the most weight is given to principal investigator or co-principal investigator status but significant co-investigator status (>10%) is recognized.
 - Other nationally competitive, peer reviewed funding, including support from national charitable foundations (e.g. American Heart Association or American Cancer Society), industry, or federal entities such as the Centers for Disease Control and Prevention and the National Science Foundation will satisfy the criterion for nationally competitive peer reviewed funding should evidence exist of a sustained record of funding from these types of agencies.
 - Funding through pharmaceutical or instrumentation companies for investigator-initiated proposals, or as local principal investigator for multi-center trials is recognized.
 - Support for a research program through creation of spin-off companies is recognized.

Entrepreneurship is a special form of scholarship valued by the Department of Pathology. Entrepreneurship includes, but may not be limited to, invention disclosures, software development, materials transfers, technology commercialization, patent and copyrights, formation of startup companies, and licensing and option agreements. Inasmuch as there are no expressly

defined metrics for entrepreneurship, the Department of Pathology will analyze these flexibly. Generally, invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding, patents will be considered equivalent to an original peer-reviewed manuscript, licensing activities that generate revenues will be considered equivalent to extramural grant awards, and materials transfer activities will be considered evidence of national (or international) recognition and impact. These entrepreneurial activities will be recognized as scholarly or service activities in the promotion dossier but will not substitute for a sustained publication record and grant support.

Criteria for research excellence within a discipline or field may vary with time. These guidelines are intended to maintain flexibility in the evaluation of a faculty member's research productivity. Overall, publication as first or senior author in the field's highest impact factor journals is an important variable that converges with other factors such as the extent of external funding, invited lectures, invited manuscripts, editorial boards, peer-review panels, and external letters of evaluation in the decision to promote and award tenure. Although the total body of scholarship over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on scholarly achievements while a faculty member at The Ohio State University. It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive tenure or promotion decision, especially if it occurs in isolation or in the context of poor performance in other areas.

5. PROMOTION OF ASSOCIATED FACULTY

By definition, associated faculty members focus on a specific aspect of the department mission. Accordingly, their promotion is based on performance in a particular role. In general, they must demonstrate excellence and innovation in their focus area.

a. Associate

Teaching and Mentoring: For faculty members whose principal focus is teaching and mentoring, benchmarks for promotion include:

- Sustained excellence in reviews by students and residents supervised by the faculty member
- Teaching awards
- Introduction of students to new modes of practice or patient populations not previously available to learners
- Participation or leadership in curriculum development.

Scholarship: For faculty members whose principal focus is scholarship, benchmarks include:

- Participation in research projects, programs, or other scholarly activity that result in enhanced regional recognition of the department through publications, funded programs, or other means
- Presentations at regional meetings or leadership/participation in regional organizations dedicated to the faculty member's area of focused scholarship serve as further indicators of advancement to this rank
- A record of publication is not an expectation in the auxiliary track; publications or other forms of dissemination of scholarship (*e.g.*, web based documents, other electronic media) are valued and contribute to advancement in rank. This is particularly true for faculty who are appointed based on their collaboration in research or other scholarly activities. Publications may be of diverse types and are not required to be first or senior authored.

Leadership and Administration: For faculty members whose principal focus is service, benchmarks may include:

- Membership and participation on committees or other leadership groups
- Leadership of subgroups within a committee, such as a writing group, or supervision of a task force is another example of such benchmarks. There must be a sustained commitment to leadership and administration rather than a single interaction with a department committee or leadership group.

Clinical Service: For faculty members whose principal focus is patient care, excellence in patient care is demonstrated by:

- Recognition such as regional and national Best Doctors listings or other recognition of excellence in patient care.
- Innovative approaches to patient care or introduction of new patient populations to those currently served by the faculty of the department.
- Patterns of patient referral from outside the institution, owing to recognized expertise.
- Invitations to speak at local or regional meetings or outside institutions.

b. Professor

Promotion to the rank of professor in the associated faculty is based not only on sustained contributions in the faculty member's area of focus but on a more advanced stage of leadership or greater sphere of impact than that of an associate professor.

Teaching and Mentoring: For faculty members whose principal focus is teaching and mentoring, faculty promoted to the rank of professor will not only have the accomplishments of an associate professor but will also attain broader recognition for contributions through curriculum development and recognition of excellence in education. This may come in the form of:

- Regional and national teaching awards
- Membership and leadership in national organizations and meetings dedicated to medical education
- Adoption of teaching innovations and curricula introduced by the faculty member to institutions outside OSU
- Invitations to speak at outside institutions
- Although publications are not an expectation, publications or web sites conveying the faculty member's innovations will serve as an indication for dissemination of innovation outside the department.

Scholarship: For faculty members whose principal focus is scholarship, the scholarly contributions of associated faculty promoted to the rank of professor will exceed the scope of those at the rank of associate professor. Benchmarks include:

- Participation in research projects, programs, or other scholarly activities that result in enhanced national recognition of the department through publications, funded programs, or other means
- Authorship or co-authorship of manuscripts
- Participation in nationally funded programs of research
- Presentations at national meetings and membership or leadership in national organizations dedicated to the faculty member's focus of scholarship.

Leadership and Administration: For faculty members whose principal focus is service, the faculty member advancing to the rank of professor will progress to senior leadership roles in the department. This may consist of:

- Serving as chair of committees that contribute to the growth in excellence of the department or which have made fundamental and innovative changes in department procedures, practice or culture. There must be a record of sustained senior leadership rather than a single interaction with a department committee or leadership group.

Clinical Service: For faculty members whose principal focus is patient care, excellence in patient care extending outside the institution is expected as demonstrated by:

- Provides outstanding clinical service that supports recognition of excellence in patient care.
- Evidence of wide referral of patients from outside the institution.
- Invitations to speak at outside institutions or consult with national organizations regarding the faculty member's patient care expertise.
- In contrast to associate professor, a fundamental metric is whether the faculty member has changed the practice of his/her field such that it has impact outside the Department of Pathology.

B. PROMOTION AND TENURE, AND PROMOTION REVIEW: PROCEDURES

In evaluating a candidate's qualifications in teaching, scholarship, and service, reasonable flexibility will be exercised, balancing (where appropriate) heavier commitments and responsibilities in one area of performance against lighter commitments and responsibilities in another. As the department enters new fields of endeavor, including interdisciplinary involvement, and places new emphases on its continuing activities, instances will arise in which the proper work of a faculty member may depart from established academic patterns. Generally, distinguished achievement in scholarship must include evidence of creative expression and innovation in the candidate's discipline.

The Department of Pathology is comprised of a wide array of professional interests/specialties. Care will be taken to apply the criteria for appointment and promotion with sufficient flexibility. In all instances, superior intellectual attainment, in accordance with the criteria set forth, is an essential qualification for appointment and promotion to all faculty positions. Insistence upon this standard for continuing members of our faculty is necessary for the maintenance and enhancement of the university as an institution dedicated to the discovery and transmission of knowledge.

1. CANDIDATE RESPONSIBILITIES

Candidates are responsible for utilizing Research in View to submit a complete and accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the core dossier outline including, but not limited to, those highlighted on the checklist.

Candidates are responsible for submitting a copy of the department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.

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

2. PROMOTION & TENURE COMMITTEE RESPONSIBILITIES

In order to conduct department level reviews for appointments, promotion and tenure, the Department of Pathology has established a Promotion & Tenure Committee.

a. Responsibilities

The responsibilities of the Pathology Promotion & Tenure Committee are:

- Recommend for action to the College of Medicine the basic policies and procedures, which, within University rules, will govern the appointment, promotion and tenure activities of the faculty of the Department of Pathology.
- Ensure the Department of Pathology guidelines and procedures on appointment, promotion and tenure are widely disseminated in order that faculty members know the basis on which they are being judged.
- Review in a timely manner: 1) all requests for promotion and/or tenure by current faculty members; 2) any requests for appointment of new faculty members at a senior rank (associate professor or above) that are referred for evaluation by the chair; and 3) all considerations of termination of probationary faculty members, and report its recommendations to the Chair. At a minimum, the committee's review will include:
 - Determination of adherence to department, college and university procedural guidelines. [Note specifically Rule [3335-3-35\(C\)\(2\)](#), Department Pattern of Administration, regarding faculty input in department appointment, promotion and tenure decisions.]
 - Recognition of the need for confidentiality, but not at the expense of the right of candidates to be kept informed of the progress of their nomination through department, college and university committees.
 - Evaluation of nominations for promotion and/or tenure with the objective of ensuring that 1) the departmental guidelines and criteria have been fairly and reasonably applied, and 2) appropriate standards have been employed in the evaluation of criteria.
- Consider annually, in spring, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A simple majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - A tenured or non-probationary faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
 - A decision by the committee to permit a review to take place in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn, provide administrative support for the promotion and tenure review process as described below.

- **Late Spring:** Select from among its members a procedures oversight designee who will serve in this role for the following year. The procedures oversight designee cannot be the same individual who chairs the committee. The procedures oversight designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
- **Late Spring:** Suggest names of external evaluators to the department chair.
- **Summer:** Gather internal evidence of the quality of the candidate's teaching, scholarship, and service from students and peers, as appropriate, within the department.
- **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
- Meet with each candidate for clarification as necessary and provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- Establish the meeting(s) of the eligible faculty.
- Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
- Make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- Revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the complete written evaluation and recommendation to the department chair.
- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- Maintain records of all actions.

b. Composition

The composition of the Pathology Promotion & Tenure Committee will be as follows:

- There will be a total of seven (7) members of the committee. The Department of Pathology chair will appoint six (6) members. The Vice Chair of Academic Affairs will be the seventh member.
- Three (3) members will be tenure-track faculty members.
- Three (3) members will be clinical faculty members. Clinical faculty members may not formally or informally participate when committee actions relevant to tenure-track faculty are being considered.
- Any changes to the composition of the committee will be made on a date determined by the chair.

c. Organization

- The Pathology Vice Chair of Academic Affairs will serve as chair of the Pathology Promotion & Tenure Committee and preside over all meetings.
- Meetings will be called by the chair as required.

- The Pathology Vice Chair of Academic Affairs will supply committee members with all necessary data, forms, applications, deadlines and logistical support needed to fulfill its responsibility.
- The Vice Chair of Academic Affairs will be responsible for keeping candidates informed of their progress through the entire review process.
- Committee recommendations to the department chair will be in writing and will include a report of the actual vote of the members on the particular matter(s) deliberated by the committee.

3. COMMITTEE OF THE ELIGIBLE FACULTY RESPONSIBILITIES

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

- Thoroughly and objectively review every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- Attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance, participate in discussion of every case, and vote. Attendance at these meetings is MANDATORY. An explanation for an excused absence must be submitted prior to the meeting. Participation in these meetings is a reflection of citizenship and participation in the department mission, and will be a component of each faculty member's own annual evaluation.

4. DEPARTMENT CHAIR RESPONSIBILITIES

The responsibilities of the department chair are as follows:

- Where relevant, verify the prospective candidate's residency status. Faculty members are not eligible for tenure or tenure review if they do not have citizenship or permanent residency status.
- **Late Spring:** Solicit external evaluations from a list including names suggested by the Pathology Promotion & Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- Solicit an evaluation from a TIU head of any department with which a candidate has a joint appointment.
- 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.
- Provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- Meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- Inform each candidate in writing after completion of the department review process:
 - the recommendations by the eligible faculty and chair
 - the availability for review of the written evaluations by the eligible faculty and chair
 - the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the chair, for inclusion in the dossier.
- Provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- Forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the chair recommends against promotion. A negative recommendation by the chair is final in such cases.
- Write an evaluation and recommendation to the chair of a tenure initiating unit recommending promotion for a joint appointee by the date requested.

5. EXTERNAL EVALUATIONS

External evaluations are obtained for all promotion and/or tenure reviews. As described above, a list of potential evaluators is assembled by the Pathology Promotion & Tenure Committee, the chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and/or the usefulness of the letters received, at least twice as many letters will be sought as are required, and they will be solicited no later than June 30, prior to the review year (which runs July 1-June 30 of a given year). This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

Any potential reviewer who declines to write a letter of evaluation must be included in the department's report of non-responding evaluators.

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

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

C. DOCUMENTATION

Faculty members preparing their dossiers for promotion and/or tenure review should consult [Volume 3](#) of OAA's policies and procedures manual to ensure that all required documentation is included. Additionally, it is highly recommended that faculty members consult the College of Medicine's Dossier Standardization Guidelines for information about how/where to enter information into the core dossier.

1. TEACHING

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

All tenure-track and clinical faculty members in the Department of Pathology must be engaged in teaching, development of the department's academic programs, and mentoring of students. Evidence of effective teaching must be demonstrated by documentation of teaching activities over a sustained period of time.

In the area of teaching, it is the quality rather than quantity that is the primary determinant of teaching effort. All teaching evaluations for medical student, resident, graduate, and undergraduate teaching will be coordinated by the Department of Pathology Education Office. It will be the responsibility of the individual faculty member to insure that their teaching efforts are properly documented and evaluated. The Pathology Education Committee will work with the Pathology Education Office to establish mechanisms for evaluating those faculty members who take part in team teaching of graduate and undergraduate students.

Summary of the critical components of the teaching dossier:

- **Medical Student Evaluations:** These evaluation forms are designed by the College of Medicine to be both formative and summative, and are anonymous to the faculty member. These evaluations are electronic in nature and the results are transmitted to the pathology chair and the faculty member. The faculty member is responsible for sharing the results with the Pathology Education Office.
- **Resident Evaluations:** These are to be both formative and summative, and are anonymous to the faculty member. These evaluations are web-based and the results are collated by the Pathology Education Office.
- **Graduate and Undergraduate Evaluations:** Online formative and summative evaluations, developed by the Department of Pathology Education Committee, and are anonymous to the faculty member. These evaluations are paper and/or web-based and the results are collated by the Pathology Education Office.
- **Peer Evaluations:** Using a form developed by the Department of Pathology Education Committee, a summative and formative evaluation of a faculty member's teaching activity will be made on an annual basis by a member of the Pathology Education Committee or by an external reviewer. The faculty member may be evaluated on the basis of classroom instruction, clinical teaching, and course materials such as syllabi, examinations and/or instructional materials.
- **Other Evaluations:** Representative evaluations of local, national, and international presentations will be included.
- **Other indicators of quality education efforts may include:**
 - the success rate of trainees in in-training examinations and in passage of specialty board examinations
 - success of the candidate's former graduate and post-doctoral students
 - extent to which pedagogical materials developed by the candidate have been adopted by other faculty here and at other institutions
 - extent to which the candidate is invited to provide expertise on teaching
 - teaching awards
 - and national recognition awards.

2. Scholarship

Scholarship is broadly defined as the discovery and dissemination of new knowledge by research, study and learning. In the Department of Pathology, a faculty member's scholarship must be demonstrated to be of high quality, significance and impact. All tenure-track, clinical and research faculty members must develop a record of scholarship this is documented by a body of original scholarly work over a period of time.

Publications and other educational materials (e.g., videos, computer programs, CD-ROM productions) provide a record of the candidate's scholarly accomplishments. Grants received and external evaluations of grant proposals offer evidence of research expertise. External evaluations of scholarship are offered in the form of outside evaluation letters, but additional forms of external evaluation may be sought as well. In the area of research, it is the quality of the publication (journal impact factor, citation index) rather than the quantity that is the primary determinant of scholarship.

3. Service

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

Activities generally considered to be service include administrative work for the department, college or university; clinical service in the care of patients; service to the profession such as leadership roles and editorial/reviewing activities; and applications of professional expertise in service to the community. Local, regional and national recognition for expert service may be evidenced by awards and citations from external organizations.

Election or appointment to leadership roles in regional and national organizations may serve as an indicator of the quality of service, and can provide evidence that the candidate's services are sought after rather than volunteered. Depending on the nature of a candidate's service activities, it may be appropriate to obtain written evaluations from those who are in a position to evaluate specific contributions (e.g., the president of a national professional organization). In the service area, it is the quality rather than the quantity that is the primary determinant of scholarship.

VIII. APPEALS

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

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

IX. REVIEWS IN THE FINAL YEAR OF PROBATION

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

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

X. APPENDICES

A. GLOSSARY OF TERMS

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

APT – Appointments, Promotion and Tenure

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

Associated – these faculty fall into many sub-categories. (See also Adjunct Faculty, Clinical Associated Faculty, Full-time Paid Associated)

Clinical Associated Faculty – 0% FTE community physicians that participate in the education and training of medical students and residents. (see also **Full-time Paid Associated Faculty**)

Courtesy Appointment – a no salary appointment for a faculty member from another academic department within the University. The title associated with the no salary appointment is always the same as the regular position.

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

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

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

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

Full-time Paid Associated Faculty – 50-100% FTE physicians working within (and being paid solely by) the OSU Health System. (see also **Clinical Associated Faculty**)

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

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

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

Non-mandatory review – voluntary promotion or tenure review.

OAA – Office of Academic Affairs

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

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

Probationary period – the length of time in which a faculty member on the tenure-track has to achieve tenure (6 years for faculty without clinical service, 11 years for faculty with clinical service). It is also defined as the first contract for clinical and research faculty.

Promotion & Tenure Committee – the body of faculty that makes *recommendations* to the department chair regarding the viability of candidates for appointment, promotion and/or tenure.

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

Clinical Faculty – physicians who primarily engage in clinical teaching and practice.

Research Faculty – basic scientists who engage exclusively in research-based scholarship.

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

Research In View – the University’s online dossier and CV creation tool (see <http://osu.researchinview.thomsonreuters.com>).

SEI – Student Evaluation of Instruction

Tenure – permanent employment status only granted to faculty on the tenure-track when the probationary period is successfully completed.

TIU – Tenure Initiating Unit – usually synonymous with “department.” Centers and Institutes are not Tenure Initiating Units.

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

B. PEER EVALUATION OF TEACHING

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

The suggested process for ensuring that all faculty members annually receive peer evaluation is: annually the department chair appoints a Peer Review of Teaching Committee. The term of service is one year, with reappointment possible.

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

- review the teaching of probationary tenure-track and probationary clinical faculty at least twice per year.
- review the teaching of tenured associate professors and non-probationary clinical faculty associate professors at least once per year.
- review the teaching of tenured professors and non-probationary clinical faculty professors at least once every four years.
- review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits.

Peer evaluation of teaching may occur in many different venues, as applicable to a faculty member's primary teaching responsibility. The College broadly considers teaching medical students, graduate students, residents and fellows. Faculty members may be evaluated bedside, giving lectures as part of the residency and fellowship programs, at CME courses whether at Ohio State or elsewhere, lecturing in formal didactic courses, etc.

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

C. AAUP STATEMENT ON PROFESSIONAL ETHICS

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

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