

# **APPOINTMENTS, PROMOTION, AND TENURE CRITERIA AND PROCEDURES**

## **The Ohio State University College of Public Health**

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**APPOINTMENTS, PROMOTION, AND TENURE  
CRITERIA AND PROCEDURES FOR THE COLLEGE OF PUBLIC HEALTH**

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## I. PREAMBLE

These policies and procedures for the College of Public Health are a supplement to several University documents, including:

- Chapters 5, 6 and 7 of the *Rules of the University Faculty*. These contain the additional rules of the University faculty concerning tenure-track faculty appointments, reappointments, promotion and tenure; clinical faculty appointment, reappointment and non-reappointment, and promotion; and research faculty appointment, reappointment and non-reappointment, and promotion. They also contain the additional rules of the University faculty concerning Associate faculty appointments, reappointments, and promotion.
- Office of Academic Affairs Policies and Procedures Handbook, especially the Guidelines, Procedures and Dossier Outline, and Dossier Checklists.

Should University rules and policies change, the College shall follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every five years by the College Promotions and Tenure (P&T) Committee and on appointment or reappointment of the Dean.

This document has been approved by the faculty, by the Dean of the College and by the Provost of the University. Within the context of the College's mission and the mission of the University, this document sets forth the criteria and procedures for faculty appointment, and criteria and procedures for faculty promotion, tenure and incentives including salary increases. In approving this document the Dean and Provost accept the mission and criteria of the College and delegate to the faculty the responsibility to apply high standards in evaluating faculty and candidates for positions in relation to its mission and criteria.

The faculty and the administration are bound by the principles articulated in the following Faculty Rule:

### [3335-6-01](#) *General considerations.*

- (A) *Peer review provides the foundation for decisions regarding faculty appointment, reappointment, and promotion and tenure (except when the provisions of Faculty Rule [3335-6-03](#) (H) are invoked). Peers are those faculty who can be expected to be most knowledgeable regarding an individual's qualifications and performance; they are normally tenure initiating unit colleagues. Because of the centrality of peer review to these review processes, faculty vested with responsibility for providing peer review have an obligation to participate fully and knowledgeably in review processes, to exercise the standards established in Faculty Rule [3335-6-02](#) and other standards specific to the academic unit and discipline, and to make negative recommendations when warranted to maintain and improve the quality of the faculty. Recommendations by the faculty vested with the responsibility for providing peer review will be accepted unless they are not supported by the evidence presented regarding how the candidate meets the standards established in Faculty Rule [3335-6-02](#) and other standards specific to the academic unit and discipline. When, for the reasons just stated, a decision regarding faculty appointment, reappointment, or promotion and tenure differs from the recommendation of the faculty, the administrator or body making that decision will communicate in writing to the faculty body that made the recommendation the reasons that the recommendation was judged not to be supported by the evidence."*

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's policy on equal opportunity (<http://hr.osu.edu/policy/policy110.pdf>).

The College supports the goals of The Ohio State University for cultural diversity. With regard to faculty, the goal is achievement of equality of opportunity and enhanced excellence through diversity of faculty.

## **II. COLLEGE MISSION**

We protect and improve the health of the people of Ohio, the nation and the world. Through interdisciplinary research, we seek to understand the forces that affect public health and the delivery of health care services. We prepare the next generation of public health practitioners, health care managers, and researchers. Collaborating with government agencies and other partners, we develop solutions to current and emerging public health problems.

### **Vision**

We aspire to be a leader in research, education and service related to public health and the delivery of health services, with local impact and global significance.

### **Values**

*Equity:* We believe in the fundamental fairness of a healthy world. All people should have an environment that optimizes health, access to affordable and high-quality health care, awareness of personal choices for improving health, and opportunities to help improve the health of our communities.

*Ethics:* We maintain high levels of academic and scientific integrity, conduct research that protects the rights and welfare of all study participants, and create an inclusive environment that supports our faculty, staff, students, and constituents.

*Excellence:* We pursue innovative research that is scientifically rigorous and relevant. We are committed to providing a high-quality learning experience and the tools to enable students to meet future challenges. We value dedicated service and leadership that helps individuals and communities live healthier lives.

*Diversity and Inclusion:* We celebrate the richness that diversity brings to our society and work to create a welcoming culture that respects all forms of diversity. We are committed to increasing the diversity of our students, faculty and staff and to equipping all our graduates to contribute effectively to a diverse public health workforce.

## **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 college. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

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

For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides in the college excluding the dean, 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 college and all clinical faculty whose primary appointment is in the college. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion of clinical faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the college and all nonprobationary clinical faculty of higher rank than the candidate whose primary appointment is in the college excluding 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 college, all clinical faculty whose primary appointment is in the college, and all research faculty whose primary appointment is in the college. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

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

## **4. Conflict of Interest**

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

## **5. Minimum Composition**

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

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

The college has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of one tenured faculty member from each Division with the rank of Professor (the primary appointment must be contained in that Division). In instances where a Division does not have a tenured Professor, a tenured Associate Professor may be elected. Each Division shall elect its representative to the Promotion, and Tenure Committee from among those eligible. The term of service shall be for three years, with some of the Committee elected

each year. When considering cases involving clinical faculty the Promotion and Tenure Committee may be augmented by two non-probationary clinical faculty members. When considering cases involving research faculty the Promotion and Tenure Committee may be augmented by two non-probationary clinical faculty members and two non-probationary research faculty members.

### **C. Quorum**

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the dean has approved an off-campus assignment.

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

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

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

Absentee ballots and proxy votes are not permitted.

#### **1. Appointment, Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**

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

## **IV. APPOINTMENTS**

### **A. Appointment Criteria**

Faculty Appointments: There are three different types of faculty appointments: *tenure-track faculty*, *clinical faculty*, and *research faculty*. A tenure-track appointment is intended for faculty who assume the full range of faculty responsibility including scholarship, teaching, and service. During the initial probationary period, faculty are effectively on a one-year renewable contract; once tenured, faculty cannot be discharged without cause. A clinical or research faculty appointment is probationary during the initial appointment period, which can be 3-5 years for clinical faculty and 1-5 years for research faculty. The clinical and research faculty appointments are intended for faculty who assume a narrower range of responsibility than tenure-track faculty. Clinical faculty responsibility may be focused in one of three areas: teaching, professional practice and service with a lesser expectation of scholarship. Research faculty responsibility is focused on scholarship with little expectation for teaching or service. Tenure-track appointments are for 50-100% FTE while clinical and research faculty appointments are for 1-100% FTE.

Joint and courtesy appointments are available for tenure-track, clinical, or research faculty whose primary appointment is outside of the College of Public Health. Joint appointments split salary among two or more units. Courtesy appointments do not provide salary. Any joint or courtesy appointment in the College of Public Health shall be at the same rank as the primary appointment.

Associated Faculty Appointments: There are various types of associated faculty appointments, including *tenure-track titles <50% FTE*, *clinical practice faculty*, *visiting faculty*, *adjunct faculty*, and *lecturer*. Associated tenure-track appointments are for faculty assuming the same range of responsibility as tenure-

track faculty but whose appointment is less than 50% FTE. Faculty with tenure-track titles <50% FTE assume the same range of responsibilities as tenure-track faculty. Associated clinical practice appointments are for faculty assuming the same range of responsibility as clinical faculty, but whose appointment is limited to up to three years long. Associated adjunct appointments are for persons who provide significant, compensated or uncompensated service to the University such as teaching, advising, or as a co-investigator; such individuals may be either non-University employees or University employees compensated on a non-instructional budget.

A chart of faculty appointment types, titles and job codes is available on the website of the [Office of Academic Affairs](#).

The University definitions of tenure-track, clinical, and research faculty, and of associated faculty, are stated in the *Rules of the University Faculty* [3335-5-19](#). The University criteria for appointment of tenure-track faculty are stated in the *Rules of the University Faculty* [3335-6-02](#). The University criteria for appointment of clinical faculty are stated in the *Rules of the University Faculty* [3335-7-05](#). The University criteria for appointment of research faculty are stated in the *Rules of the University Faculty* [3335-7-32](#). Information on joint, courtesy, and associated appointments is found here.

### **1. Tenure-Track Faculty**

Tenure-track faculty hold appointments at 50% FTE or higher. They are appointed with the expectation that they will focus on scholarship, teaching, and service (Faculty Rule [3335-6-02](#)).

**Instructor.** Appointments at the rank of Instructor should normally only be made when the offered appointment is that of Assistant Professor but the appointee has not completed the required terminal degree at the onset of the appointment.” (Faculty Rule [3335-6-02](#) A). An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end of the third year of appointment, the third year is a terminal year of employment.

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

**Assistant Professor.** Appointment as an Assistant Professor is based on having a doctoral degree and evidence that the individual can perform effectively in scholarship, teaching, and service.

Teaching potential: The faculty member will be assessed for his/her potential to contribute to the teaching mission of the College. Evidence will include the formal presentation at the time of the interview.

Research potential: The faculty member’s research potential will be assessed based on the quality of the dissertation, working papers, published and in press, record of funded research, achievements from a post-doctoral appointment and from an opportunity to make a research presentation.

Professional Service Potential: The faculty member’s potential to provide professional practice and/or service to professional organizations will be considered.

**Associate Professor and Professor.** Appointment at senior rank requires that the individual, at a minimum, meet the college's criteria in teaching, scholarship, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.

## **2. Clinical Faculty**

Clinical faculty serve under fixed term contracts of three to five years and are not eligible for tenure. The titles of clinical faculty in the College of Public Health are: Assistant Professor of Clinical Public Health, Associate Professor of Clinical Public Health, and Professor of Clinical Public Health. Clinical faculty have responsibility primarily for teaching and service/practice activities. They are encouraged to participate in research and other scholarly activities, though not with the intensity expected of tenure-track or research faculty.

Criteria for appointment for clinical faculty (Faculty Rule [3335-7-05](#)) will be similar to those for the tenure-track faculty, but with the emphasis on teaching and practice, and with potential for scholarship in a broad sense. Appointments or transfers to the clinical faculty position will be made for individuals with the following experience or credentials:

1. Individuals engaged in activities that consist primarily of teaching and public health practice, but may also include administration, service, and scholarship.
2. An earned doctorate in a field related to public health.

**Instructor of Clinical Public Health.** Appointment is normally made at the rank of instructor of clinical public health when the appointee has not completed the requirements for the terminal degree. The college will make every effort to avoid such appointments. 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 end of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

**Assistant Professor of Clinical Public Health.** An earned doctorate and the required licensure/certification in his or her specialty are the minimum requirements for appointment at the rank of assistant professor of clinical public health. Evidence of ability to teach is highly desirable.

**Associate Professor of Clinical Public Health and Professor of Clinical Public Health.** Appointment at the rank of associate professor of clinical public health or professor of clinical public health requires that the individual have the required licensure/certification in his/her specialty, and meet, at a minimum, the college's criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks.

### 3. Research Faculty

Research faculty serve under fixed term contracts of one to five years and are not eligible for tenure. The titles of research faculty in the College of Public Health are: Research Assistant Professor of public health, Research Associate Professor of public health, and Research Professor of public health. Research faculty have responsibilities primarily in research related to the mission and goals of the College.

Criteria for appointment for research faculty (Faculty Rule [3335-7-32](#)) emphasize accomplishments and potential in scholarship. Research faculty may engage in limited educational activities, but classroom teaching cannot be a required part of the workload. In addition, research faculty must not be engaged repeatedly in the same instructional activities as tenure-track faculty.

**Research Assistant Professor.** Appointments or transfers to the research faculty position require an earned doctorate in a field related to public health, and will be subject to these additional criteria:

Research: At the time of the appointment, the individual should already have demonstrated significant experience and/or potential for a productive research career, as shown by the quality of the dissertation, working papers, published and in press work, research presentations, and evidence from postdoctoral work (if any).

Funding: Persons appointed to the research faculty position are expected to develop extramural support for their salary or have other (e.g., non-general funds) support. The specific time frame within which this must be accomplished, and the degree to which failure to attain that support may affect either the renewal of the appointment or the individual's salary, will be stated clearly in the contract for the position.

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

### 4. Associated Faculty Appointments

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

Associated faculty appointments in the College of Public Health are in five different categories: ***tenure-track titles*** <50% FTE, ***clinical practice faculty***, ***visiting faculty***, ***adjunct faculty*** and ***lecturer***.

*“Associated faculty: persons with clinical practice titles, adjunct titles, visiting titles, and lecturer titles; also Professors, Associate Professors, Assistant Professors, and Instructors who serve on appointments totaling less than fifty percent service to the university. Persons with tenure-track [50-100% FTE], clinical, or research faculty titles may not hold associated titles. Persons holding associated titles are not eligible for tenure and may not participate in the promotion and tenure reviews of tenure-track, clinical, or research faculty. Persons with associated titles are permitted to participate in college or academic 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.” (Faculty Rule [3335-5-19 D](#)).*

Tenure-Track Titles <50% FTE: Associated tenure-track appointments are for faculty assuming the same range of responsibility as tenure-track faculty but whose appointment is less than 50% FTE. The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

Clinical Practice Faculty: *“The titles of Clinical Professor of Practice, Clinical Associate Professor of Practice, Clinical Assistant Professor of Practice, and Clinical Instructor of Practice shall be used to confer faculty status on individuals who have credentials comparable to clinical faculty of equivalent rank and who either provide significant, uncompensated service for which a faculty title is needed or compensated service to the clinical instructional programs in the health sciences colleges. Clinical practice appointments are made for the period in which the service is provided. Renewal of no-salary appointments is contingent upon continued significant contributions. Procedures for the promotion of clinical practice faculty members shall be the same as for promotion of clinical faculty.” (Faculty Rule [3335-5-19](#) ). Associated clinical rank is determined by applying the criteria for appointment of clinical faculty.*

Visiting Faculty: *“The titles of Visiting Professor, Visiting Associate Professor, and Visiting Assistant Professor, shall be used to confer faculty status on individuals who have credentials comparable to tenure-track, clinical or research faculty of equivalent rank who spend a limited period of time on formal appointment and in residence at this institution for purposes of participating in the instructional and research programs of the university. A visiting appointment cannot exceed three continuous academic years of service.”*

Adjunct Faculty: *“The titles of Adjunct Professor, Adjunct Associate Professor, and Adjunct Assistant Professor, and Adjunct Instructor shall be used to confer faculty status on individuals who have credentials comparable to tenure-track, clinical, or research faculty of equivalent rank, who provide significant, service to the instructional and/or research programs of the university and who need a faculty title to perform that service. Significant service would include teaching the equivalent of one or more courses, advising graduate students or serving on graduate committees, and serving as a co-investigator on a research project. Such individuals may be either non-University employees or University employees compensated on a non-instructional budget. Adjunct appointments are made for the period in which the service is provided. Renewal of adjunct appointments is contingent upon continued significant contributions. Procedures for the promotion of adjunct faculty members shall be the same as for promotion of tenure, clinical, or research faculty.” (Faculty Rule [3335-5-19](#) D 2).*

Lecturer and Senior Lecturer: *“The titles of Lecturer and Senior Lecturer shall be used for all compensated instructional appointments where other titles are not appropriate. Lecturers' responsibilities are limited to teaching as defined in Chapter 3335-6 of the Administrative Code.” (Faculty Rule [3335-5-19](#)). At a*

Minimum criteria for appointment of associated faculty are:

At Lecturer level:

1. Master's degree or equivalent professional degree
2. Professional experience and scholarly endeavors congruent with the anticipated contribution to the mission of the College

At the Senior Lecturer level:

1. Doctoral degree or equivalent professional degree

2. Contribution to a specific, identified aspect of the College's programs of instruction and/or research

## **5. Courtesy Appointments**

Occasionally the active academic involvement in this college by a tenure-track, clinical, or research faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in this department. Appropriate active involvement includes research collaboration, graduate student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

## **B. Appointment Procedures**

The College of Public Health is committed to the creation and maintenance of a faculty that is diverse along many dimensions. Vigorous efforts will be made to ensure a diverse pool of highly qualified candidates, consistent with University policy.

### **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 ([www.hr.osu.edu/hrpubs/guidesearches.pdf](http://www.hr.osu.edu/hrpubs/guidesearches.pdf)). The involvement of the faculty in the appointment process should be substantial, including:

1. Advising the Dean regarding the need for new faculty
2. Identifying appropriate strategies for national recruitment efforts
3. Serving as a member on search committees for identified positions
4. Identifying and recruiting a diverse pool of potential faculty candidates
5. Reviewing of applicant pool to decide on candidates for formal interview
6. Attending and evaluating the candidate's public presentation
7. Participating in the discussions of the faculty body to advise the Dean regarding the appointment decision

All searches in the College of Public Health for tenure-track faculty must conform to these guidelines:

1. All searches should be conducted in accordance with the guidelines of The Ohio State University. The Dean's office will supply each search committee with a copy of the University rules and the standard procedures used within the College.
2. Searches may be undertaken only after an assessment of need, resulting in specific job descriptions and carefully outlined expectations.
3. All searches should proceed following selection of an appropriate search committee, appointed by the Dean with advice from the Division in which the appointment will be made.
4. Each search committee should select a Diversity Advocate. Either the search committee chair or Diversity Advocate should meet with the Office of Human Resources to discuss diversity issues.
5. The search committee should determine appropriate advertisement outlets for the search, taking into consideration outlets that include women, minorities, individuals with disabilities and veterans.
6. The faculty of the College should be given adequate opportunity to meet and evaluate candidates.

7. At the conclusion of the search, the search committee presents a list of acceptable candidates to the Dean. If the Dean elects to move forward with the process, the P&T Committee reviews the recommended candidate for the purpose of determining the appropriate rank prior to appointment. The P&T Committee presents the candidate for a vote on appointment by the eligible faculty of the College.
8. When the appointment is to be a Division Chair or senior administrative position, the search committee presents the list of acceptable candidates to the Dean. If the Dean elects to move forward with the process, the candidate is sent forward to the P&T Committee as outlined above.
9. Announcement of a vote on a candidate for appointment must be distributed one week in advance. After appropriate discussion at a meeting of the eligible faculty, a secret ballot is used.

On rare occasions, special sessions of the P&T Committee and the eligible faculty may be required to expedite this process.

## **2. Clinical Faculty**

The procedures for the appointment of clinical faculty will be identical to those for tenure-track faculty with the exception that waiving a national search only requires approval by the dean.

## **3. Research Faculty**

The procedures for the appointment of research faculty will be identical to those for tenure-track faculty with the exception that waiving a national search only requires approval by the dean.

## **4. Transfer from the Tenure-track**

The College permits transfer from the tenure-track to research or clinical faculty positions if appropriate to the College's mission and circumstances. All transfers must abide by the following:

- The request for transfer must be initiated by the tenure-track faculty member in writing and must state clearly how the individual's career goals and activities have changed.
- When a tenured faculty member transfers to a research or clinical faculty position, tenure is relinquished.
- The Dean and Provost must approve all transfers.

Transfers from a research or clinical faculty position to the tenure-track are not permitted. However, research and clinical faculty may apply for tenure-track positions and compete in regular national searches for such positions, consistent with Faculty Rule [3335-7-39](#).

## **5. Associated Faculty**

Recommendations for appointment of associated faculty are made based on need within the Division and on the candidate's qualifications to satisfy that need. The division chair will recommend appointment to the dean, after consultation with the division faculty. Final approval and letters of offer come from the Dean and Division Chair.

## **7. Courtesy Appointments**

Recommendations for courtesy appointments are based on a comprehensive assessment of each candidate's qualifications, together with detailed evidence to support the nomination. The faculty in that

Division then evaluates the candidate and makes a recommendation to the P&T Committee. The P&T Committee presents the candidate for a vote by the eligible faculty of the College. Voting follows the same procedures described above for tenure-track faculty. Final approval and letters of offer come from the Dean and Division Chair.

## V. ANNUAL REVIEW PROCEDURES

The annual review process reflects the College's responsibility to apply high standards in evaluating faculty. OAA requires all tenure-track, clinical and research faculty at all levels to be reviewed annually by the TIU head or designee. Annual reviews of all faculty members must include a scheduled opportunity for a face-to-face meeting as well as a written assessment. The procedures for annual review of faculty are consistent with Faculty Rules [3335-6-03](#), [3335-7-08](#) and [3335-7-36](#) and follow the requirements for annual reviews as set forth in the Faculty Annual Review Policy (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>). The purposes of the annual review are to:

1. Review the faculty member's performance in teaching, scholarship, and service based on the P&T criteria described in this document;
2. Review evidence of ongoing development;
3. Assess the strengths and weaknesses of the faculty member's work and progress for use by the Dean and Division Chair in subsequent merit/salary consideration;
4. Provide recommendations to the faculty for development in teaching, research and service.
5. For Associate Professors, to assess progress toward promotion to the rank of Professor
6. For Professors, to assess the overall contribution the faculty member is making to the reputation and functioning of the College and mentoring of junior faculty.

The annual review procedures are described in the following sections for probationary faculty (tenure-track, clinical, and research) and tenured, non-probationary clinical, and non-probationary research faculty in their second or subsequent term of appointment. The review of faculty occurs in the spring semester and begins with a meeting of the faculty member with the Division Chair to discuss and evaluate the previous year's performance. The report from the Division Chair, together with the faculty member's documentation, is then reviewed by the P&T Committee and, for faculty beneath the rank of professor, by the eligible faculty using processes described more fully below. Feedback will be provided to the faculty by the P&T Chair and Division Chair following the faculty discussion. For the annual review process, the eligible faculty shall be the same as was described in Section III. The annual review of other reappointed non-probationary clinical or research faculty in their second or subsequent term is conducted in the spring as an administrative review by the Division Chair and the Dean.

Although a single College P&T Committee member serves as the [Procedures Oversight Designee](#), all members of the eligible faculty must accept personal responsibility for assuring that reviews are procedurally correct, fair, confidential and free of bias. The procedures oversight designee should assure that the review process follows written procedures governing the probationary and subsequent annual reviews and that the proceedings are carried out in a highly professional manner. Any procedural difficulties or other concerns about the review should first be brought to the attention of the P&T Committee Chair who must provide a response to the procedures oversight designee regarding either actions taken, or why action is judged not to be warranted.

The Dean (or designee) shall notify the faculty on the last day of Autumn semester of the annual review, providing instructions and a designated timeline. All faculty are responsible for providing detailed evidence of their teaching, research and service accomplishments in an OAA approved dossier report with the most recent past calendar year's data highlighted. Dossiers for all faculty will be due to the Division Chairs by the second Friday of January. The Division Chair will evaluate each faculty member's performance and accomplishments as reported in the dossier. The Division Chair will forward his or her evaluation of the faculty member, including all documentation, to the Chair of the P&T Committee by the last Friday of February. The P&T Committee will

coordinate the review by the eligible faculty and provide the eligible faculty recommendations to the Dean by March 31. The Dean will use the information provided by the Division Chair and eligible faculty to assist in determining annual renewal of probationary faculty.

At the time of initial appointment, every faculty member below the rank of Professor will be assigned a mentoring team. This team will be selected by the faculty member and approved by the Division Chair, with attention to the new faculty member's interests and likely needs for professional development. The members of the mentoring team need not come from the same Division, although one member should be a tenured faculty member in the College of Public Health. Faculty members outside the College are also considered valuable mentors. All mentors should be capable of providing appropriate guidance. The role of the mentoring team is to offer advice, encouragement, and assistance in career progress, both for the attainment of tenure (where applicable) and the development of the faculty member's stature in scholarship, teaching, and service. Mentoring team activities should include at least one in-class observation and evaluation, as well as reviewing other relevant teaching materials. The comments from the mentoring team shall be solicited by the Chair of the Division in the annual review process.

#### **A. Annual Review of Probationary Tenure-Track Faculty**

By the Monday following the last Friday in February, the College Chair will make available to all eligible faculty materials for the annual review of each of the probationary faculty including the dossier report and Division Chair's annual review letter.

The College P&T Chair is responsible for scheduling the annual meeting for the review of probationary faculty in the spring semester and for notifying the eligible faculty of the date(s) and time(s) of the meeting in the autumn semester. The purposes of the meeting are to discuss the annual reviews for probationary faculty and to develop a summary report and recommendations for each individual. If an eligible faculty member must be absent from the annual meeting, the faculty member may submit a written evaluation to be considered during the discussion. The mentoring team for each individual is encouraged to participate and may contribute to the discussion.

The evaluative discussion will include an assessment of the probationary faculty member's performance and professional development, including strengths and weaknesses, using the criteria for the relevant rank (Section VII A) and related documentation (Section VII C), including the Division Chair's annual review report. Following the discussion, the eligible faculty will vote by secret ballot on whether to recommend reappointment. The ballot results will be stated as part of a summary review report and recommendation to the Dean. The P&T Committee prepares the reports, ensuring that they reflect the discussion, voting results and recommendations made by the eligible faculty.

The reviews will be completed in the timeliest fashion possible and summary information communicated to the faculty member being reviewed in a meeting between the P&T Chair (or P&T Committee designee) and the Division Chair (the dean's designee). The reports are then forwarded to the Dean. The final review report will become a part of the faculty member's dossier for subsequent annual reviews during the probationary period, and the review for promotion and tenure.

The Dean will notify the faculty member of his/her reappointment decision at the end of the academic year. If a non-reappointment decision is made, the faculty member will be given 10 calendar days to comment and the Dean may respond; at the end of the comments period, the Dean forwards the complete dossier to the Office of Academic Affairs for review where the Provost will make the final decision on the case.

#### **1. Probationary Tenure-Track Faculty: Fourth Year Annual Review**

Faculty Rule [3335-6-03](#) (C)(4) requires that the fourth year review follow the same procedures as the sixth year review except that external evaluations are not required. External evaluations are only

solicited when either the dean or the eligible faculty determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the scholarship without outside input. All candidates for fourth year review are required to use the University designated system to upload and format their core dossiers.

The probationary faculty member prepares annual review materials as described above in Section V. A. Following the fourth year review by the eligible faculty review body, the P&T Chair submits a statement of evaluation for inclusion in the dossier, which is then forwarded to the Dean for review and an independent recommendation. The faculty member may request a copy of all review materials.

When the reports (by P&T Chair and Dean) for the fourth year review are complete, the faculty member under review is notified by the Dean that the reports are available to review and the faculty member has 10 calendar days from that point to provide comments on the reports for inclusion in the dossier. If the faculty member provides written comments, the Dean may provide a written response and/or the eligible faculty may reconvene and consider the candidate's comments and provide a written response.

All fourth year reviews and non-reappointment decisions from other probationary review years will be sent to the Office of Academic Affairs, for the provost's decision. If an appointment is not renewed, standards of notice will be in accord with Faculty Rule [3335-6-08](#).

## **2. Probationary Tenure-Track Faculty: Exclusion of Time from the Probationary Period**

The College of Public Health follows the provisions of Faculty Rule [3335-6-03](#) regarding exclusion of time from the probationary period.

## **B. Annual Review of Tenured Faculty**

Review procedures discussed in this section apply to tenured faculty in the College with the exception of the Dean. All annual reviews include a face-to-face meeting with the dean, or designee. For faculty holding administrative appointments (Associate Deans and Division Chairs), the review encompasses their performance as faculty members in teaching, research and service, but not their administrative performance. Allowance will be made in the review for the effort involved in administrative activity. Review need not be undertaken for faculty who have announced retirement or resignation. However, a review will be completed if the college intends to rehire the faculty member post-retirement.

In addition to annual review by the dean, tenured associate professors will undergo periodic review by the full professors. Associate Professors will be reviewed every three years by the eligible Full Professors (that is, in the third, sixth, etc. year following promotion or appointment to rank). The purpose of the review of Associate Professors is to assess progress toward promotion to the rank of Professor. The P&T Committee will prepare a summarizing report that will be provided to the faculty member, Division Chair, and Dean.

Faculty to be reviewed by the eligible faculty will be notified by the first Friday of January. By the first Friday of March, said faculty will submit to the P&T Committee Chair, detailed evidence of their teaching, research and service accomplishments in an OAA approved dossier report with the appropriate number of calendar years data highlighted (or three or five years, as appropriate, for persons who have not been previously reviewed).

Full Professors will be reviewed annually by the division head and every five years by the Dean (that is, in the fifth, tenth, fifteenth etc. year following promotion or appointment to rank.) The purpose of the review of Full Professors is to assess the overall contribution the faculty member is making to the reputation and

functioning of the College in the areas of research, teaching, advising, service to the profession and the community, service to the College and University, and mentoring of junior faculty.

### **C. Annual Review of Clinical Faculty**

The annual review process for clinical probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty respectively, with the exception that clinical associate professors are reviewed by the eligible faculty only in their penultimate year.

In the penultimate contract year of a clinical faculty member's appointment, the college dean must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu>) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. During the penultimate year of any term the procedures for review are the same as those for probationary faculty described in Section V.A.1. For each positive recommendation in the penultimate year, an original signed cover sheet (Record of Review for Promotion in Academic Rank/Tenure/Reappointment) shall be submitted to the Office of Academic Affairs, but no letters, vita or dossiers are required. For a negative recommendation, the terms of the contract will be honored.

### **D. Annual Review of Research Faculty**

The annual review process for research probationary and nonprobationary faculty is identical to that for tenure-track probationary and tenured faculty, except in the penultimate year of any term.

In the penultimate contract year of a research faculty member's appointment, the dean must determine whether the position held by the faculty member will continue. If it will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu>) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. During the penultimate year of any term the procedures for review are the same as those for probationary faculty described in Section V.A.1. For each positive recommendation in the penultimate year, an original signed cover sheet (Record of Review for Promotion in Academic Rank/Tenure/Reappointment) shall be submitted to the Office of Academic Affairs, but no letters, vita or dossiers are required. For a negative recommendation, the terms of the contract will be honored.

### **E. Associated Faculty**

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The dean or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. The dean's recommendation on renewal of the appointment is final. If the recommendation is to renew, the dean may extend a multiple year appointment.

Compensated associated faculty members on a multiple year appointment are reviewed annually by the dean, or designee. The dean, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the

appointment, the chair will decide whether or not to reappoint. The dean's recommendation on reappointment is final.

## **VI. MERIT SALARY INCREASES AND OTHER REWARDS**

### **A. Criteria**

Criteria for merit salary increases and other rewards include faculty performance and the criteria for faculty promotion, which are located in Section VII. A.

### **B. Procedures**

The Division Chairs will provide the Dean with their annual report for each faculty member, together with the faculty member's documentation of annual accomplishments. The Dean will determine the level of merit salary increase based on the recommendation of the Division Chair and faculty performance. This recommendation will be based on the rank appropriate annual review summary.

### **C. Documentation**

Decisions regarding merit increases require the submission by the faculty member of adequately documented annual review materials as outlined in Section V - Annual Review Procedures. Therefore, merit increases will not be awarded to faculty who do not submit these materials according to the timeline.

#### **1. Teaching**

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

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

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

Other relevant documentation of teaching as appropriate.

#### **2. Scholarship**

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

Documentation of grants and contracts received.

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

### 3. Service

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

## VII. PROMOTION AND TENURE REVIEWS

This section of the document delineates criteria for promotion to the ranks of tenure-track, clinical, and Research Associate Professor and Professor. These criteria amplify the OSU Faculty Rules [3335-6-02](#), [3335-07-08](#), and [3335-07-36](#), and are used in conjunction with the Office of Academic Affairs [Guidelines for Preparation of the Dossier](#). These criteria are the standards upon which judgments are based. Further, examples of evidence of attainment are provided as guidelines and are intended to be illustrative rather than exhaustive. It is assumed that, at each rank, a candidate will have successfully met the criteria stated for lower ranks. In all cases, evidence of a sustained pattern in the quality of faculty effort and leadership is required for reappointment (in untenured positions) or promotion at any academic rank.

*“In evaluating the candidate’s qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the University enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances, superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the University as an institution dedicated to the discovery and transmission of knowledge” (Faculty Rule [3335-6-02 D](#)).*

### A. Criteria

#### 1. Tenure-Track Faculty: Promotion to Associate Professor with Tenure

Tenure and promotion are based on performance in teaching, research and service and a pattern of performance over the probationary period that yields a high degree of confidence that the candidate will continue to develop professionally. The awarding of tenure and promotion to the rank of Associate Professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a researcher and scholar, and as one who provides effective service. Evidence must also indicate that the faculty member can be expected to continue a program of high-quality teaching, research and scholarship that will increase in sophistication and service relevant to the mission of the College of Public Health. (adapted from Faculty Rule [3335-6-02](#))

#### 2. Tenure-track Faculty: Promotion to Professor with Tenure

Promotion to the rank of Professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching, has developed and maintained a productive program of research and scholarship that is recognized nationally or internationally, and has demonstrated significant leadership in service. A faculty member ready for promotion to Professor should be a role model for faculty, for students, and for the profession. (adapted from Faculty Rule [3335-6-02](#))

#### 3. Clinical Faculty: Promotion to Associate Professor of Clinical Public Health

Promotion to Associate Professor of Clinical Public Health is based on convincing evidence that the faculty member has achieved excellence in teaching as demonstrated through contributions to advancing

the teaching mission, and service or professional practice, and has contributed to the scholarly mission of the College. Evidence must also indicate that the faculty member can be expected to continue a program of high quality teaching, service or professional practice, and contributions to scholarship relevant to the mission of the College.

#### **4. Clinical Faculty: Promotion to Professor of Clinical Public Health**

Promotion to Professor of Clinical Public Health must be based on convincing evidence that the faculty member has a sustained record of excellent teaching as demonstrated through innovative methods; recognition for excellence and leadership in service or professional practice, and has contributed regularly to the scholarly mission of the College.

#### **5. Research Faculty: Promotion to Research Associate Professor**

Promotion to Research Associate Professor is based on convincing evidence that the faculty member has achieved excellence as a researcher, demonstrated both by the quality of the work and the ability to attract external support. Evidence must also indicate that the faculty member can be expected to continue a program of high quality scholarship supported by external funding, and to contribute to the mission of the College.

#### **6. Research Faculty: Promotion to Research Professor**

Promotion to Research Professor must be based on convincing evidence that the faculty member has a sustained record of excellence in scholarship that is recognized nationally or internationally, including a continuous record of success in obtaining external research support from high-quality sources, and contributions to the mission of the College. Persons holding this rank should be recognized clearly as leaders in their field, whose presence substantially enhances the research program of the College, including the mentoring of others.

### **B. Procedures**

The College's procedures for promotion and tenure reviews are consistent with and supplement those set forth in Faculty Rule [3335-6-04](#).

The college's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu>) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>). The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the college.

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

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.
- To submit a copy of the college'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 college.

- To review the list of potential external evaluators developed by the TIU chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The TIU chair decides whether removal is justified. (Also see External Evaluations below.)

## 2. Promotion and Tenure Committee Responsibilities

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

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
  - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
  - A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<http://trustees.osu.edu>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
  - Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the TIU chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this college.
  - A decision by the committee to permit a review to take place in no way commits the eligible faculty, the TIU chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
  - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
  - **Late Spring:** Suggest names of external evaluators to the TIU chair.
  - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.

- Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
- Revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the TIU chair.
- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- Provide a written evaluation and recommendation to the TIU chair in the case of joint appointees whose tenure-initiating unit is another college. The full eligible faculty does not vote on these cases since the college's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this college's cases.

### **3. Eligible Faculty Responsibilities**

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

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

### **4. TIU Chair Responsibilities**

The responsibilities of the TIU chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this college.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.

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

## 5. External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research appointment contract renewals and promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for clinical faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical faculty member will be made by the TIU chair after consulting with the candidate and the chair of the Promotion and Tenure Committee.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who can give an “arms’ length” evaluation of the research record and is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This college will generally solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.

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

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the TIU 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 (<http://trustees.osu.edu>) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this college requires that the dossier contain letters from evaluators suggested by the candidate.

The college follows the Office of Academic Affairs suggested format, provided at <http://oaa.osu.edu/sampledocuments.html>, for letters requesting external evaluations.

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

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

## **C. Documentation**

The Office of Academic Affairs core dossier outline serves as a basic standard for documentation that will be examined in assessing performance. Listed below are the possible forms of documentation to be included in the dossier in the areas of teaching, scholarship, and service or clinical practice. Documentation for tenure-track, clinical and research faculty are listed separately.

### **1. Tenure-Track Faculty**

#### **a. Teaching**

Effective teaching is an essential responsibility of all faculty members in the College of Public Health. The quality of teaching is an explicit factor in the evaluation of faculty performance for merit salary increases, promotion and tenure. Teaching includes undergraduate and graduate instruction in formal courses, seminars and individual studies. Directing student research is both a research and teaching activity. Advising students, and academic and career counseling (graduate and undergraduate) is a teaching activity.

To judge instruction, the following components may be considered:

- Command of subject including incorporation of recent developments into instruction;
- Continuous growth in subject matter knowledge;
- Organization and presentation of class material;
- Contributions to curricula development, on-line degrees and open-access courses;
- Participating in the creation of new undergraduate, graduate and professional majors and degrees that cut across multiple academic units and involve courses with multiple instructors;
- Creativity in course development with regard to new materials, ideas and methods of delivery;
- Capacity to awaken students' awareness of the relationship between subjects studied, important problems and other fields of knowledge;
- Mentoring of future teachers—teaching assistants;
- Advising undergraduate and graduate students;
- Directing graduate and undergraduate research programs/activities;
- Creating partnerships and exchanges, including study abroad, with other academic and research institutions across the region, nation, and world.

Each tenure-track faculty member will submit evidence concerning performance in instruction.

The following items should be considered in compiling documentation in the area of instruction:

- Peer evaluations of teaching, in line with the process described in the final section below. At a minimum, at least two peer evaluations should be conducted during the probationary period (one before the fourth year and one at time of tenure and promotion); and at least one for promotion from associate to full professor.
- Evidence of the development of new and effective instructional techniques and materials, shown through written explanation by the candidate, including syllabi, examination and assignments.
- Teaching in teams with community partners as an engaged university.
- Number of courses and sections taught, and number of students enrolled.
- Recognition or awards for distinguished teaching.
- Instruction-related publications authored, co-authored or edited: number, scope and distribution:
  - Peer-evaluated publications designed primarily to communicate with other educators, e.g., journal articles on curricula, course innovations, and student placement.
  - Textbooks, chapters in textbooks or peer-evaluated books of readings.
  - Articles, papers, reviews and other non-reviewed class materials.
- Academic advising, mentoring and direction of undergraduate and graduate students in research papers, thesis and dissertations, including the achievements of these students.
- Counseling of graduate and undergraduate students in career development.
- Maintenance and development of competence through workshops, study leaves, courses, interactions with practitioners, and self-study.
- Leadership in development of courses and curricula that goes beyond normal teaching and service expectations.
- Course and instructor evaluations
  - Student opinions and judgments, appropriately documented and accompanied by interpretive information, are essential. See section on evaluation of teaching. Any other information that the candidate may wish to submit.

## **b. Scholarship**

Scholarship is the responsibility of every faculty member. Each tenure-track faculty member is expected to develop a scholarly program that focuses on significant public health and health care problems and is congruent with the mission of the College of Public Health.

Collaborative work, including interdisciplinary work, is recognized as an important mechanism for advancing science. Both individual and collaborative efforts are important. Written accounts of research published in peer reviewed, high quality scholarly publications are an important indicator of research productivity. Other indicators that a faculty member is growing professionally include scientifically meritorious peer-reviewed funding of research grants, the provision of research mentorship to students and colleagues, and recognition by colleagues at national and/or international levels in an area of scholarship in which he or she is an expert.

Guidelines for evaluating scholarship include publications, grants, and research activities with students, and other scholarly activities listed below:

### Publications

A general hierarchy of publication significance for scholarship is listed below. There may be some variation in this hierarchy according to the specific discipline.

- (1) Greatest weight is placed on peer reviewed original research publications that have significant impact on the field, for example:
  - Peer reviewed empirical research in top tier scientific journals, as determined by the field of study
  - Peer reviewed books or monographs
  - Peer reviewed critical summary or review articles
  - Peer reviewed national reports
  - Manuscripts accepted for publication, documented by copies of correspondence from the publisher, will be treated as publications for the purpose of evaluation for scholarship performance.
- (2) Less stringently reviewed publications that may still contain significant contributions could include:
  - Book chapters
  - Invited or selected papers presented at professional meetings
  - Textbooks, edited volumes, and materials that are intended to be primarily instructional insofar as they present new ideas or constitute conceptual or empirical innovation;
  - Manuscripts in review.
- (3) Additional materials, which may be considered, include:
  - Publications that are not peer reviewed
  - Unpublished papers if the author demonstrates their quality and usefulness
  - Book reviews written for journals, which reflect the author's status as a scholar but may occasionally also represent research output.

Sole or first-authored peer-reviewed papers will be weighted more heavily than co-authored papers. Senior-authored papers will also be given more weight. The order of authorship for papers with multiple authors will also be considered in the review process. In general, order of authorship reflects the relative contribution to the research and/or the writing of the paper. It is

essential for the candidate to describe his or her contribution to a publication with multiple authors.

#### Grants and Contracts

Grants and contracts are a mechanism to support investigations of significant public health problems. Funding may be derived from a variety of sources. In evaluating sources of funding, competitiveness of the source and the role of the faculty member are major criteria. The general hierarchy is presented below.

- (1) Principal/Co-principal Investigator of an externally funded, peer reviewed research grant. Examples include federal sources (NIH, CDC, NSF, EPA, DOD) or foundations (Robert Wood Johnson).
- (2) Other examples include:
  - Significant member of an externally funded, peer reviewed research grant.
  - Principal/Co-principal Investigator of an internally funded research grant.
  - Significant member of an internally funded research grant.
  - Non-peer reviewed external contracts and grants.

#### Scholarly Activities with Students

Publications co-authored with students are a reflection of a faculty member's mentorship. The quality of the students' work, including research awards, publications, and future success; the recruitment of students; and involvement of students in research and other scholarly activities are all critical activities that reflect a faculty member's mentorship and program of research and scholarship. For promotion to Full Professor, the faculty member's involvement with students is crucial; specifically, there should be evidence of student accomplishment. Examples of student success may include, but are not limited to: 1) high quality research and scholarship that has an impact on the science, 2) research record, 3) job placement and 4) contributions to the profession. These accomplishments reflect on the faculty candidate's commitment and ability to mentor students in the areas of teaching, research, scholarship, and service.

#### Other Scholarly Activities

Excellence in scholarship is manifested in other ways, depending on the faculty member's field of expertise and the stage of one's professional development. For example, a candidate for promotion to Full Professor is expected to provide mentorship to junior faculty and facilitate the research expertise of colleagues. Among other indicators of the quality of a scholarship program are attracting funds, consultation in areas of research expertise and/or clinical expertise, participating in research with community partners as an engaged university, serving on expert panels in the area, giving invited lectures at scientific meetings, receiving recognition for research and scholarly contributions to science and the discipline, patents and patent preparation, commercialization of published research, and software development.

#### **c. Service**

The provision of service is an expectation of tenure-track within the College of Public Health. Faculty members are expected to demonstrate increasing involvement and leadership in service as they progress in rank. Faculty provide services of the following types:

- (1) Administrative services at College and University levels,
- (2) Advisory services to undergraduate and graduate students,

- (3) Professional services to peers in the disciplines of Public Health, to other health care providers, and to community leaders.

Each faculty member is expected to contribute in providing service to these constituencies. The nature and extent of service activity, however, will vary for individual faculty members.

#### Definition of Service

Activities provided and responsibilities assumed for the benefit of the identified audiences of the University, the disciplines of Public Health, public and private health sectors at local, state, and national levels, and of the community. Examples of services are described below. Services include but are not limited to those specified.

#### College and University Services

- Provides leadership for College, and University committees, especially for promotion to full professor.
- Facilitates the ongoing function of College operations and activities, including regular attendance and active participation in faculty meetings and forums.
- Serves on College and University governance, standing, and special committees, and on task forces.
- Participates in University-sponsored initiatives that enhance student experiences.
- Actively participates in recruiting students and faculty for the College.

#### Student Services

- Advises undergraduate and graduate professional and service organizations.
- Serves on graduate students committees in the College and in other University colleges (e.g., as Graduate College Representative).
- Serves on College and University committees related to student affairs.

#### Professional Services

- Provides leadership to professional associations at state, national, and international levels, e.g., holding office, editorial responsibilities, manuscript review, special committees, task forces, advisory committees.
- Participates in regional and national research networks for service, research, and continuing education.
- Provides professional services to peers, including reviewing course materials, manuscripts, research proposals, and evaluations of instruction and research.

#### Service to the Community

- Provides consultation and contributes to policy making boards of community, government, and health care agencies, at local, state, national and international levels.
- Provides a significant contribution to the public health of a community or population.

## **2. Clinical Faculty**

### **a. Teaching**

Effective teaching is an essential responsibility of all faculty members in the College of Public Health. The quality of teaching is an explicit factor in the evaluation of faculty performance for merit salary increases and promotion. Teaching includes undergraduate and graduate instruction in

formal courses, seminars and individual studies. Advising students, and academic and career counseling (graduate and undergraduate) is a teaching activity.

To judge instruction, the following components may be considered:

- Command of subject including incorporation of recent developments into instruction;
- Continuous growth in subject matter knowledge;
- Organization and presentation of class material;
- Contributions to curricula development; , on-line degrees and open-access courses;
- Participating in the creation of new undergraduate, graduate and professional majors and degrees that cut across multiple academic units and involve courses with multiple instructors;
- Creativity in course development with regard to new materials, ideas and methods of delivery;
- Capacity to awaken students' awareness of the relationship between subjects studied, important problems and other fields of knowledge;
- Mentoring of future teachers—teaching assistants;
- Advising undergraduate and graduate students;
- Creating partnerships and exchanges, including study abroad, with other academic and research institutions across the region, nation, and world.

Each clinical faculty member will submit evidence concerning performance in instruction.

The following items should be considered in compiling documentation in the area of instruction:

- Peer evaluations of teaching, in line with the peer review process described below.
- Evidence of the development of new and effective instructional techniques and materials, shown through written explanation by the candidate, including syllabi, examination and assignments.
- Teaching in teams with community partners as an engaged university.
- Number of courses and sections taught, and number of students enrolled.
- Recognition or awards for distinguished teaching.
- Instruction-related publications authored, co-authored or edited: number, scope and distribution:
  - Peer-evaluated publications designed primarily to communicate with other educators, e.g., journal articles on curricula, course innovations, and student placement.
  - Textbooks, chapters in textbooks or peer-evaluated books of readings.
  - Articles, papers, reviews and other non-reviewed class materials.
- Academic advising of undergraduate and graduate students
- Counseling of graduate and undergraduate students in career development.
- Maintenance and development of competence through workshops, study leaves, courses, interactions with practitioners, and self-study.
- Leadership in development of courses and curricula that goes beyond normal teaching and service expectations.
- Course and instructor evaluations:
  - Student opinions and judgments, appropriately documented and accompanied by interpretive information, are essential. See section on evaluation of teaching. Any other information that the candidate may wish to submit.

## **b. Scholarship**

Scholarship is the responsibility of every faculty member. Clinical faculty members are expected to contribute to the university's mission via teaching and service, and to a lesser extent scholarship. Because of this, continuing clinical-track faculty members must demonstrate excellence in teaching and service/professional practice. They are also expected to contribute to the scholarly mission of the College in ways appropriate to their other activities. Each clinical faculty member is expected to develop a program of scholarship that focuses on significant public health and health care problems and is congruent with the mission of the College of Public Health. Scholarship may take such forms as collaboration with others in research activity, publishing in the professional practice literature, making presentation at professional meetings, developing continuing education offerings, and developing educational innovations.

Guidelines for evaluating scholarship include publications and scholarly activities with students listed below:

### Publications

A general hierarchy of publication significance for scholarship is listed below. There may be some variation in this hierarchy according to the specific discipline and duties of the clinical faculty member.

- (1) Greatest weight is placed on peer reviewed original scholarly publications that have significant impact on the field, for example:
  - Peer reviewed books or monographs
  - Peer reviewed critical summary or review articles
  - Peer reviewed national reports;
  - Manuscripts accepted for publication, documented by copies of correspondence from the publisher, will be treated as publications for the purpose of evaluation for scholarship performance.
  
- (2) Less stringently reviewed publications that may still contain significant contributions could include:
  - Book chapters
  - Invited or selected papers presented at professional meetings
  - Textbooks, edited volumes, and materials that are intended to be primarily instructional insofar as they present new ideas or constitute conceptual or empirical innovation;
  - Manuscripts in review.
  
- (3) Additional materials, which may be considered, include
  - Publications that are not peer reviewed
  - Unpublished papers if the author demonstrates their quality and usefulness
  - Book reviews written for journals, which reflect the author's status as a scholar but may occasionally also represent research output.

Sole or first-authored peer-reviewed papers will be weighted more heavily than co-authored papers. The order of authorship for papers with multiple authors will also be considered in the review process. In general, order of authorship reflects the relative contribution to the scholarship and/or the writing of the paper. It is essential for the candidate to describe his or her contribution to a publication with multiple authors.

### Other Scholarly Activities

Excellence in scholarship is manifested in other ways, depending on the faculty member's field of expertise and the stage of one's professional development. Among other indicators of a scholarship program are participating on research projects, consultation in areas of scholarly and/or clinical expertise, serving on expert panels in the area, giving invited lectures at meetings, and receiving recognition for scholarly contributions to science and the discipline.

### **c. Service**

The provision of service is an expectation of clinical faculty within the College of Public Health. Faculty members are expected to demonstrate increasing involvement and leadership in service as they progress in rank. Faculty provide services of the following types:

- (1) Administrative services at College and University levels,
- (2) Advisory services to undergraduate and graduate students,
- (3) Professional services to peers in the disciplines of Public Health, to other health care providers, and to community leaders.

Each clinical faculty member is expected to contribute in providing service to these constituencies. The nature and extent of service activity, however, will vary for individual faculty members.

### Definition of Service

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- Provides leadership to professional associations at state, national, and international levels, e.g., holding office, editorial responsibilities, manuscript review, special committees, task forces, advisory committees.
- Participates in regional and national research networks for service and education. Provides professional services to peers, including reviewing course materials, manuscripts and evaluations of instruction.

### Service to the Community

- Provides consultation and contributes to policy making boards of community, government, and health care agencies, at local, state, national and international levels.

- Provides a significant contribution to the public health of a community or population.

### 3. Research Faculty

#### a. Scholarship

Scholarship is the responsibility of every faculty member. Research is considered the primary form of scholarship for research faculty in the College of Public Health. Each research faculty member is expected to develop a research program that focuses on significant public health and health care problems and is congruent with the mission of the College of Public Health. Research faculty may also participate in “team science” initiatives in basic, translational and applied research, and focus on university and other interdisciplinary scientific initiatives.

Written accounts of research published in peer reviewed, high quality scholarly publications are an important indicator of research productivity. Other indicators that a research faculty member is growing professionally include rigorous external peer-reviewed funding of research grants, the provision of research mentorship to students and colleagues, and recognition by colleagues at national and/or international levels in an area of scholarship in which he or she is an expert.

Guidelines for evaluating scholarship include publications, grants, and research activities with students, and other scholarly activities listed below:

#### Publications

A general hierarchy of publication significance for scholarship is listed below. There may be some variation in this hierarchy according to the specific discipline.

- (1) Greatest weight is placed on peer reviewed original research publications that have significant impact on the field, for example:
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- (2) Less stringently reviewed publications that may still contain significant contributions could include
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- (2) Other examples include:
  - Significant member of an externally funded, peer reviewed research grant.
  - Principal/Co-principal Investigator of an internally funded research grant.
  - Significant member of an internally funded research grant.
  - Non-peer reviewed external contracts and grants.

#### Other Scholarly Activities

Excellence in scholarship is manifested in other ways, depending on the faculty member's field of expertise and the stage of one's professional development. For example, a candidate for promotion to Full Professor is expected to provide mentorship to junior faculty and facilitate the research expertise of colleagues. Among other indicators of the quality of a scholarship program are attracting funds, consultation in areas of research expertise and/or clinical expertise, participating in research with community partners as an engaged university, serving on expert panels in the area, giving invited lectures at scientific meetings, and receiving recognition for research and scholarly contributions to science and the discipline.

### **VIII. APPEALS**

Faculty Rule [3335-6-05](#) (A) sets forth general criteria for appeals of negative promotion and tenure decisions. Further detail on appeals alleging improper evaluation is contained in Faculty Rule [3335-5-05](#).

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

### **IX. SEVENTH YEAR REVIEWS**

The College follows Faculty Rule [3335-6-05](#) (B) which sets forth the conditions of and procedures for a seventh year review for a faculty member denied tenure as a result of the sixth year review.

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

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

Every student in every course must be provided an opportunity to complete a confidential evaluation of the instruction and the instructor. The SEI is the required method of obtaining student opinion. However, faculty may add other methods to obtain feedback about their teaching for their annual reviews. All faculty members must obtain students' evaluations of their teaching using the Student Evaluation of Instruction (SEI). Student evaluations should be presented in table format over time by semester. Trends and/or patterns of responses in evaluations are considered to be as important as or potentially more important than individual items or scores for any particular year.

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

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

The dean is responsible for the college's peer evaluation of teaching process; the procedure for collecting peer evaluation for teaching is delegated to the division chair. The Division Chair shall be responsible for gathering evidence of the quality and effectiveness of teaching, which at a minimum, includes at least two peer evaluations during the probationary period (one before the fourth year and one at time of tenure and promotion); and at least one for promotion from associate to full professor. The evaluations are conducted by a senior faculty member and may include in-class observations and peer evaluations, as well as other relevant teaching materials. It is also expected that the mentoring team and Associate Dean for Academic Affairs will have assisted the faculty member in acquiring formative teaching documentation.