



THE OHIO STATE UNIVERSITY

Appointments, Promotion and Tenure Document Department of Speech and Hearing Science

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TABLE OF CONTENTS

I. PREAMBLE.....	3
II. DEPARTMENT MISSION.....	3
III. DEFINITIONS	3
A. Committee of the Eligible Faculty	3
1. Tenure-track Faculty	3
2. Clinical Faculty	4
3. Research Faculty	4
4. Conflict of Interest	4
5. Minimum Composition	4
B. Quorum	5
C. Recommendation from the Committee of the Eligible Faculty	5
1. Appointment.....	5
2. Reappointment, Promotion and Tenure, Promotion and Contract Renewal	5
IV. APPOINTMENTS.....	5
A. Criteria	5
1. Tenure-track Faculty	5
2. Clinical Faculty	7
3. Research Faculty	7
4. Associated Faculty	7
5. Courtesy Appointments.....	8
B. Procedures.....	9
1. Tenure-track Faculty	10
2. Clinical Faculty	10
3. Research Faculty	11
4. Transfer from the Tenure-track	11
5. Associated Faculty	11
6. Courtesy Appointments.....	11
V. ANNUAL REVIEWS	12
A. Probationary Tenure-track Faculty	12
B. Probationary Tenure-track Faculty – Fourth Year Reviews	13
C. Probationary Tenure-track Faculty – Extension of Time from Probationary Period.....	14
D. Tenured Faculty.....	14
E. Clinical Faculty	14
F. Research Faculty	15
G. Associated Faculty	15
VI. MERIT SALARY INCREASES AND OTHER AWARDS	15

A. Criteria.....	15
B. Procedures	16
C. Documentation	16
1. Teaching.....	16
2. Scholarship.....	17
3. Service.....	17
VII. REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION	17
A. Criteria.....	17
1. Promotion to the Rank of Associate Professor with Tenure.....	17
2. Promotion to Professor.....	18
3. Promotion of Clinical Faculty	19
4. Promotion of Research Faculty	19
B. Procedures	20
1. Candidate Responsibilities	20
2. Eligible Faculty Responsibilities.....	20
3. Department Chair Responsibilities.....	21
4. External Evaluations	22
C. Documentation	23
1. General.....	23
2. Teaching.....	23
3. Research and Creative Work.....	24
4. Service.....	24
VIII. APPEALS	24
IX. SEVENTH-YEAR REVIEWS	25
X. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING	25
A. Student Evaluation of Teaching	254
B. Peer Evaluation of Teaching	25

I. PREAMBLE

This document is a supplement to Chapters 6 and 7 of the University Faculty Rules (<https://trustees.osu.edu/university/facultyrules>); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook (<http://oaa.osu.edu/policiesprocedureshandbook.html>); and other policies and procedures of the College of Arts and Sciences and the University to which the Department and its faculty are subject. Should those rules and policies change, the Department shall follow those new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed and either reaffirmed or revised, at least every four years on appointment or reappointment of the Department Chair.

This document must be approved by the Executive Dean of the College and the Executive Vice President and Provost of the University before it can be implemented. It sets forth the Department's mission and, in the context of that mission and the missions of the College and University, its criteria and procedures for faculty appointments, and its criteria and procedures for faculty promotion, tenure, and rewards including salary increases. In approving this document, the Executive Dean of the College and the Executive Vice President and Provost accept the mission and criteria of the Department and delegate to it the responsibility to apply high standards in evaluating continuing faculty and candidates for positions in relation to its mission and criteria.

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

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

II. DEPARTMENT MISSION

The mission of the Department of Speech and Hearing Science is to serve and advocate for persons affected by communication disorders through advancing knowledge of normal and disordered communications and promoting excellence by educating leaders in speech and language pathology and audiology. The Department's Vision is to strive to be universally recognized and respected for diversity, innovation and inspiration in our synthesis of science and practice.

The programs of the Department encompass the research, education and clinical service activities required in scholarly pursuits in the areas of speech-language pathology, audiology, speech science and hearing science. The Department maintains an undergraduate major as well as two professional graduate programs—a MA program in speech-language pathology and a Doctor of Audiology (AuD) program in audiology—and a PhD program. The faculty of the Department consists of individuals whose research interests and expertise maintain an appropriate balance among the areas of the discipline. The Department seeks continuous improvement in all areas of research, instruction, and service to the University and to our discipline.

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 members whose tenure resides in the Department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the Department excluding the Department Chair, the Executive Dean of the College and assistant, Associate and Divisional Deans of the College, the Executive Vice President and Provost, and the President.

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

The eligible faculty for reappointment, contract renewal, and promotion of clinical faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the Department and all nonprobationary clinical faculty of equal rank to or higher than the candidate whose primary appointment is in the Department excluding the Department Chair, the Executive Dean of the College and Assistant, Associate, and Divisional 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 members whose tenure resides in the department, all clinical faculty members whose primary appointment is in the department, and all research faculty members whose primary appointment is in the department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the department, all nonprobationary clinical faculty of equal rank to or higher than the candidate whose primary appointment is in the department, and all nonprobationary research faculty of equal rank to or higher than the candidate whose primary appointment is in the department excluding the Department Chair, the Executive Dean and Assistant, Associate, and Divisional 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 Department does not have at least three eligible faculty members who can undertake a review, the Department Chair, after consulting with the Divisional Dean of Social and Behavioral Sciences, will appoint a faculty member from another Department within the College.

B. 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 purpose of determining a quorum only if the Department Chair has approved an off-campus assignment. Similarly, a member of the eligible faculty who is on a Faculty Professional Leave (FPL) during the semester in which the discussion and votes take place will be excluded from the count for the purpose of determining a quorum. Faculty members who recuse themselves because of a conflict of interest are not counted when determining if a quorum is present.

C. Recommendation from the Committee of the Eligible Faculty

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

Absentee ballots and proxy votes are not permitted.

1. Appointment

A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the votes cast are positive.

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

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

IV. APPOINTMENTS

A. Criteria

The Department of Speech and Hearing Science is committed to making only those faculty appointments that enhance or have the strong potential to enhance the quality of the Department. Faculty appointments are to be made that are consistent with the stated mission of the Department which is “to serve and advocate for persons affected by communication disorders through advancing knowledge of normal and disordered communications and promoting excellence by educating leaders in speech and language pathology and audiology.”

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

1. Tenure-track faculty

Appointment decisions for tenure-track faculty will be based on criteria that reflect strong potential to attain tenure and advancement through the faculty ranks.

a. Instructor

Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The Department will make every effort to avoid such appointments. An instructor must be approved for promotion to assistant professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year. When an instructor is promoted to the rank of assistant professor, prior service credit will not be granted for time spent as an instructor unless the faculty member indicates in writing at the time of promotion that he or she does wish such credit. This written request must be forwarded to the Office of Academic Affairs through the Executive Dean for approval so that tenure records may be adjusted accordingly.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the Department's eligible faculty, the Department Chair, the Executive Dean of the College, 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.

b. Assistant Professor

An earned terminal degree in speech and hearing science or a related field (recognizing that speech and hearing science is an area of scholarship that is inherently multi- and interdisciplinary in nature) is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and quality service to the Department, the University and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the eligible faculty determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked without a formal request for an extension of the probationary period. A probationary appointment may be terminated at any time subject to the notice provisions of Rule [3335-6-03](#) of the Administrative Code and the provisions of paragraphs (G), (H), and (I) of this rule. *Probationary faculty members will be informed no later than the end of the year in which their mandatory review for tenure takes place as to whether tenure will be granted by the beginning of the following year. If tenure is not granted, a one- year terminal year of employment is offered* ([Rule 3335-6-03](#) (B) (3)).

c. Associate Professor and Professor

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

Appointment at a senior rank requires that the individual, at a minimum, meets the Department's criteria in teaching, scholarship, and service for promotion to these ranks. These criteria include an earned doctorate in speech and hearing science or a related field, a substantial record of scholarly achievement (e.g., peer-reviewed articles in top-tier journals) in one or more of the Department's program specialty areas, and evidence of a national reputation as a scholar with clear potential to attain (Associate Professor) or show evidence of (Professor) international visibility. There must be a high likelihood of continued and significant scholarly contributions and a judgment that the addition of the candidate will improve the level of scholarship of the Department. Additionally, there must be evidence that the applicant has been an effective teacher and has provided substantial service to the Department, the University and the profession. Appointment at a senior rank normally entails tenure. A probationary appointment at a 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. Offers to foreign nationals require prior consultation with the Office of International Education.

2. Clinical Faculty

Appointment of clinical faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. The department will make every effort to provide initial five year appointments, although it may make shorter ones if deemed appropriate by the college. Tenure is not granted to clinical faculty. Promotion is not required for maintenance of the clinical faculty appointment. Unlike tenure-track assistant professors, assistant professors in clinical appointments may maintain that rank indefinitely. The issuing of new contracts is not directly tied to the promotion process. A clinical faculty member at the Associate/Professor levels still must undergo annual reviews by the Department Chair. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the Department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule [3335-7](#).

Clinical faculty members are scholars whose primary contributions are to the professional programs of audiology and/or speech-language pathology. Individuals appointed to a clinical faculty position might have any of a variety of educational degrees. Within the field of speech and hearing science, there are a number of possible degrees that might be appropriate for a clinical faculty member. For speech-language pathology, the minimum required degree for clinical practice in the U.S. is a master's degree, and thus it is possible that the degree of a clinical-track faculty member in that area might be MA, MS, MEd, EdD or PhD, depending on the program from which he/she graduated. For audiology, a practicing audiologist might have a degree of AuD or PhD, again depending on the program from which he/she graduated (individuals who earned their degree before 2007—the year that the AuD became the entry-level degree for the profession of audiology—might have a MA or MS degree). The individual will be required to hold clinical certification from a national association (e.g., from the American Speech-Language-Hearing Association) and/or be eligible for licensure at the state level (through the Ohio Speech and Hearing Professionals Board).

3. Research Faculty

Appointment of research faculty entails three- to five-year contracts. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the Department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule [3335-7](#).

Research faculty members are researchers and shall be engaged in research related to the mission and goals of the academic unit. Minimum research criteria for research faculty appointments are similar to those for main campus tenure-track faculty appointments of equivalent ranks. These criteria also will serve as a basis for evaluating a research faculty member who desires promotion.

4. Associated Faculty

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.

a. Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor

Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the Department, such as teaching a course or serving on graduate student committees, for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

b. Lecturer

Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed one year; such appointments can be renewed on an annual basis.

c. Senior Lecturer

Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer should generally not exceed one year; such appointments can be renewed on an annual basis.

d. Assistant Professor, Associate Professor, Professor with FTE below 50%

Appointments at tenure-track titles can be made for individuals at 49% FTE or below, either compensated (1-49% FTE) or uncompensated (0% 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.

e. Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor

Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members on leave from an academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for appointment of tenure-track faculty. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three consecutive years at 100% FTE.

5. Courtesy Appointments for Faculty

Occasionally the active academic involvement in the Department 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. Procedures

See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the Office of Academic Affairs [Policies and Procedures Handbook](http://oaa.osu.edu/policiesprocedureshandbook.html) (<http://oaa.osu.edu/policiesprocedureshandbook.html>) for information on the following topics:

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

1. Tenure-track Faculty

- a. 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 OAA [Policy on Faculty Recruitment and Selection](#).
- b. The Executive Dean of the College of Arts and Sciences provides approval for the Department to commence a search process. This approval will be accompanied by specific ranges with regard to salary, rank, and field of expertise.
- c. The recruitment of new tenure-track faculty must be based on a clear and sound plan for the programmatic future of the Department and on a realistic determination of the availability of resources to support a new appointment. The Chair has the primary responsibility for the recruitment of all new academic personnel. He or she is assisted in recruiting activities by faculty search committees and the faculty as a whole. All consultation with and votes by the eligible faculty are advisory to the Chair. All appointments in the Department are made upon the recommendation of the Chair and the approval of the Executive Dean of the College of Arts and Sciences.
- e. The general disciplinary sub area of the new position will be based on the future programmatic needs of the Department and will be sensitive to the current distribution of expertise within the Department faculty in terms of speech-language pathology, speech-language science, audiology, and hearing science and current student interest and academic goals of Department.
- f. The major faculty mechanism for recruiting is the Search Committee. The Search Committee and the Search Committee Chair shall be named by the Department Chair. One member of the Search Committee shall be designated as the Diversity Advocate. The Department Chair shall not serve as a member of the Search Committee. Both tenure-track and clinical faculty members can serve on Search Committees.
- g. At the commencement of any search, members of all search committees must undergo inclusive hiring practices training offered through the College.
- h. The first duty of the Search Committee, in consultation with the Department Chair, is to create a position description including specific details as to qualifications, deadlines, and materials to be submitted by the applicants. The Search Committee will also develop a position announcement. Both the internal job posting and external advertising should provide for the maximum flexibility in hiring within the parameters approved by the College, because any offers extended must be consistent with the advertising. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- i. The Search Committee will also be responsible for identifying the appropriate venues in which the position should be advertised (for example, ASHA magazine, appropriate web sites such as www.capsd.org [the website for the Council of Academic Programs in Communication Sciences and Disorders which has job postings for most faculty positions in our discipline] and e-mail server groups, personal networking, and *The Chronicle of Higher Education*). Special effort will be made to advertise in a range of venues that may attract applications from a diverse pool of highly qualified candidates. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a

national professional journal. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally prominent professional venues. Searches for tenure-track and clinical faculty will be posted on the [Careers at Ohio State website](#).

- j. The Diversity Advocate will have the special responsibility for assuring that the search is conducted according to relevant University, College and Department rules and policies, that all procedures are carried out in a professional manner, and that all proceedings are free of inappropriate comments or assumptions about members of underrepresented groups that could bias the evaluation of a candidate. The Search Committee shall make every effort to solicit applications from diverse candidates for all positions.
- k. The Search Committee will review and evaluate all candidates and recommend to the Chair those most notable in accomplishment and consistent with the published description. The Chair will take the recommendations before the faculty to assist in final decision about who to invite for interview and ultimately to rank order applicants for a position offer. Before this faculty meeting, the Search Committee will make available at least one week ahead of time the entire set of applications so that any member of the faculty may review them beforehand.
- l. Before inviting any candidates to campus for an interview, the Search Committee Chair or Department Chair will submit information about the pool and finalists to the Divisional Dean for Social and Behavioral Sciences for approval to proceed. The College collects this information through the Faculty Search Diversity Recruitment Report (<https://intranet.asc.ohio-state.edu/apt/hiring>; log-in required).
- m. The Search Committee will, if desired by the Department Chair, assume responsibility for scheduling the interviews and making local arrangements working with Department staff members. The top candidates identified will be invited into the Department for an interview. All tenure-track and clinical faculty members may participate in these interviews. The candidate will also be required to give a presentation on some aspect of his/her research to the Department as a whole. All candidates interviewing for a particular position must follow the same interview format.
- n. After all candidates have completed formal visits, the eligible faculty will meet to discuss each candidate. The Chair of the Department can call for a special meeting to discuss one or more candidates following any visit. Through the process of voting by secret ballot, the eligible faculty will make recommendations to the Chair following the completion of the search process. It is the responsibility of the faculty to attend, participate, and vote on every appointment. If the offer involves senior rank, the eligible faculty members also vote on the appropriateness of the proposed rank. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.
- o.. On receipt of the recommendation, the Chair may recommend to the Divisional Dean for Social and Behavioral Sciences and the Executive Dean of the College regarding making an offer to a particular candidate, resuming the search or canceling the search. If the Chair's recommendation is contrary to the recommendation of the faculty, the Chair will consult with that body before making a final decision. In hiring faculty into probationary tenure-track positions, the Department should be convinced that the candidate—given his or her training and record to date—will successfully meet the Department's, the College's, and the University's standards for tenure by the end of the probationary period.
- p. Negotiation with a particular candidate will not commence without the approval of the Executive Dean of the College. Letters of offer require the prior approval of the Executive Dean of the College and/or their designees and offers to foreign nationals require prior consultation with the Office of International Affairs. These negotiations and all letters of offer must follow the guidelines set by the College, the Office of Academic Affairs, and—in the case of appointment of foreign nationals—the Office of International Affairs.
- q. Candidates for prior service credit must have accomplishments that inspire confidence that the candidate's record will warrant a positive review for promotion and tenure at the end of the shortened probationary period. Prior service credit will not be given unless the candidate requests it and even in those circumstances, the Department will discourage the candidate's request.

2. Clinical Faculty

In general, the process for hiring clinical faculty is the same as that outlined for tenure-track faculty except that teaching experience with regard to clinical skills and clinical education, clinical service, and clinical supervision/preceptorship are paramount in terms of hiring criteria. Exceptions to a national search require approval by the Executive Dean of the College.

3. Research Faculty

In general, the process for hiring research faculty is the same as that outlined for tenure-track faculty. Exceptions to a national search require approval by the Executive Dean of the College.

4. Transfer from the Tenure-track

Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the Department Chair, the Executive Dean of the College, and the Executive Vice President and Provost.

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

Transfers from a clinical appointment and from a research appointment to the tenure-track are not permitted. However, clinical faculty members and research faculty members may apply for open tenure-track positions and compete in the national search required for such positions.

5. Associated Faculty

Appointment of associated faculty members will be initiated when the Chair determines that the potential contribution of the appointee to the academic work of the Department as well as the needs of the Department justifies such an appointment. The Chair will review the curriculum vitae and associated documents of the potential appointee and will consult with the tenure-track faculty (and, when appropriate, the clinical faculty) before initiating the appointment. Tenure-track and clinical faculty members may request that such an appointment be initiated but must provide a written rationale for the appointment. Adjunct appointments require the prior approval of the College before a formal offer can be extended.

Associated faculty appointments may be up to three years at a time. Renewals will be based on an evaluation of the appointee's contribution to the Department during the past year by the Chair. If the Chair determines that the appointee is not making significant and substantive contributions to the Department, following consultation with the faculty (and, when appropriate, the clinical staff) the Chair may decide to not renew the appointment.

Appointments of lecturers (and senior lecturers) will be no longer than one year at a time (and can be as short as one academic term). The Department may appoint a lecturer to teach only a single course in an academic year.

Visiting professors or adjunct professors at senior rank require approval of the College and OAA.

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

6. Courtesy Appointments

Occasionally the active academic involvement in this Department by a tenure-track, research or clinical 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.

Courtesy appointments will be initiated when the Chair determines that the potential contribution of the appointee to the academic work of the Department as well as the needs of the Department justifies such an appointment. The Chair will review the curriculum vitae and associated documents of the potential appointee and will consult with the faculty (and, when appropriate, the clinical staff) before making the initial appointment. Faculty members or clinical staff members may request that such an appointment be initiated but must provide a written rationale supporting the appointment.

Although courtesy appointments do not require annual renewal, the Chair will monitor the performance of and contributions by each appointee on a continuing basis. If the Chair determines that an appointee is not making a significant contribution to the Department, the Chair will consult the faculty (and, when appropriate, the clinical staff) and may decide to terminate the courtesy appointment.

V. ANNUAL REVIEW PROCEDURES

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

The annual reviews of every faculty member are based on expected performance in teaching, scholarship, and service as set forth in the Department's policy on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. This material must be submitted to the Department Chair in the early part of the Spring semester.

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

The general policy of the Department in evaluating faculty performance is as follows: In judging research and publications, quality shall be the primary concern. Quantity of scholarly production is important but secondary to quality. In the area of teaching, it is recognized that popularity is a potentially misleading criterion. In view of the fact that what is taught (and the amount of information that students retain) is as important as how it is taught, the evaluating committees and the Chair shall place emphasis on scholarship in their appraisal of teaching performance.

A. Probationary Tenure-Track Faculty

1. At the time of appointment, probationary faculty members shall be provided with all pertinent documents detailing tenure initiating unit, college, and university promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary faculty members shall be provided with copies of the revised documents.
2. An annual review of probationary tenure-track faculty will be done by the Department's Committee of the Eligible Faculty and by the Department Chair. This annual review will be completed during the Spring semester or as specified by the College or the Office of Academic Affairs. The Chair will provide the appropriate timetable for submission of all materials.
3. The Chair will attend the meeting to preside over the meeting, to provide any additional information requested and to participate in discussions. However, the Chair will not participate in any vote taken

- during the meeting. Votes taken during the meeting will be done by secret ballot. Members of the Committee of the Eligible Faculty who are absent from the meeting may provide short comments regarding his or her evaluation of the untenured faculty members in the areas of research, teaching, and service to the Department Chair who will read them during the meeting. Proxy votes from absent committee members will not be solicited nor accepted.
4. Prior to the meeting, the Department Chair will appoint a senior faculty member to be the reporter for the meeting. Following this meeting, the reporter will provide to the Department Chair a written report of the results of the review for each untenured faculty member. This reporter will solicit comments and/or suggestions from other members of the committee in preparing an accurate and balanced report. This report will provide an evaluation (including both strengths and weaknesses) of the untenured faculty member in terms of research, teaching, and service and any recommendations in terms of future performance.
 5. After receiving this review, the Department Chair will provide his or her own written evaluation for each untenured faculty member. If there are differences between the assessment of the Department Chair and the Committee of the Eligible Faculty, the Department Chair will explain to the members of the Committee the reasons for his or her departure from their evaluation.
 6. Copies of these evaluations shall be provided to both the untenured faculty member and to the College Office. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure, along with the candidate's comments. The written evaluations provided to the probationary faculty member should be constructive and candid. This review process is a means to be supportive and helpful to untenured faculty but, at the same time, provide a candid and clearly communicated evaluation of that faculty member's performance—especially in terms of those aspects that need improvement if the probationary faculty member is to make acceptable progress toward tenure. The Department Chair and probationary faculty will meet to discuss this annual review.
 7. If the Department Chair recommends renewal of the appointment, this recommendation is final.
 8. The Department shall not renew a probationary appointment following any annual review in which it is apparent that the probationary faculty member's likelihood of meeting expectations of promotion and tenure is poor. The Department Chair can make a recommendation of non-renewal in any year prior to the beginning of the 6th year. An annual review in the first, second, third, or fifth year that results in a nonrenewal recommendation must have followed fourth year review procedures (described below). Following completion of the comments process, the complete dossier is forwarded to the College for review by the divisional promotion and tenure panel, and the Executive Dean makes the final decision on renewal or nonrenewal of the probationary appointment.

B. Probationary Tenure-Track Faculty- Fourth Year Reviews

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are not solicited and the Executive Dean of the College (not the Department Chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

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

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

The eligible faculty forwards a record of the vote and a written performance review to the Department Chair. The Department Chair conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the departmental review, the formal comments process (per Faculty Rule [3335-6-04](#)) is followed and the case is forwarded to the College for review, regardless of whether the Department Chair recommends renewal or nonrenewal.

C. Probationary Tenure-Track Faculty—Exclusion of Time from Probationary Period

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

D. Tenured Faculty

1. During the Spring Semester, the Chair will review each tenured faculty member. This review will be based, in part, on the performance of the faculty member during the past calendar year, the faculty member's performance during the current year, his or her performance during the past several years, and the faculty member's overall contribution to the Department. This review will include an examination of research performance, teaching performance, and service to the Department, the College, the University, and to the discipline of speech and hearing science. All tenured members of the faculty shall be reviewed on an annual basis by the Chair. This review shall serve as one of the bases for annual salary recommendations, for assisting faculty in developing and carrying out professional plans, and for calling attention to performance problems where they exist. It is expected that all tenured faculty will exhibit substantial strength and continued progress in research, teaching, and service, consistent with the mission of the Department.
2. A review of tenured associate professors by the Eligible (Professors in the Department) will be conducted every two years. The Committee will provide a report to the Department Chair (a copy of which goes to the faculty member) providing an evaluation of the faculty member's progress toward promotion to professor. A copy of the Committee's report (along with the Department Chair's evaluation) will go into the associate professor's permanent file and will be included in the dossier if the faculty member is reviewed for promotion to professor. A copy of this annual review will also be sent to the College. The Department Chair will meet with each faculty member to discuss his or her performance and future plans and goals.
3. Upon receiving his or her annual review, a faculty member may respond, in writing, to feedback regarding her/his performance. A copy of this response will be forwarded to the Dean of the College and a copy will be placed in that faculty member's permanent file. Faculty Rule [3335-5-04](#) states that at the time of their initial appointment and when they receive their annual review, faculty members shall be given notice of their right to review their personnel file maintained by their tenure initiating unit. A member of the faculty may place in his or her primary personnel file a response to any evaluation, comment, or other material contained in the file.

E. Clinical Faculty

The annual review process for clinical probationary and non-probationary faculty will include an examination of her/his performance in terms of clinical education (which will include teaching clinically oriented courses, clinical supervisor/preceptorship), service to the Department, the College, the University, and to the discipline of speech and hearing science and scholarship (in the form of presentations at state or national conventions, news articles, etc., or supporting the clinical research of tenure-track faculty members).

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

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. A secondary purpose of this review will be to provide feedback to the Department Chair and to the candidate on progress toward promotion and areas in which the candidate is strong or needing improvement. The review generally proceeds in the same manner as the fourth-year review procedures for tenure track faculty. External letters are not solicited. The candidate will prepare a dossier focusing on clinical education (most

important), service and scholarship and will provide it to the Chair. In turn, the eligible faculty will review the dossier and will provide a report to the Chair with a vote regarding whether to recommend a new contract. The Chair will also provide a report and a recommendation. All materials will be forwarded to the College Office. The final decision regarding reappointments will be made by the Executive Dean of Arts and Sciences. In the first reappointment, the dossier is reviewed by the divisional promotion and tenure panel for the social and behavioral sciences as well as by the Executive Dean. In subsequent reappointment terms, review by the Divisional panel is optional.

Clinical faculty who have been reappointed at least once have an annual review by the Chair and undergo review by the Committee of Eligible Faculty every two years until a decision is made to proceed with a promotion vote.

F. Research Faculty

The annual review process for research probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty except that performance in the area of research/scholarship is paramount.

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

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review and reappointment decisions follow the same guidelines/policies as that for clinical faculty.

G. Associated Faculty

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the Department Chair, or designee. The Department Chair, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the Chair will decide whether or not to reappoint. The Department Chair's recommendation on reappointment is final.

VI. MERIT SALARY INCREASES AND OTHER AWARDS

A. Criteria

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

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

Meritorious performance in teaching, scholarship, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality

performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

B. Procedures

The Department Chair recommends annual salary increases and other performance rewards to the Divisional Dean of Social and Behavioral Sciences, who may modify these recommendations subject to final approval by the Executive Dean. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the Department Chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate. After merit salary increases have been finalized at the College and University level, the Chair shall inform each faculty member of his or her increase.

Faculty members who wish to discuss dissatisfaction with their salary increase with the Department Chair should be prepared to explain how their salary (rather than the increase) is inappropriately low, since increases are solely a means to the end of an optimal distribution of salaries based on merit.

C. Documentation

The annual performance review of every faculty member requires that all documentation described below, including the two summary documents, be submitted to the Department Chair no later than the last day of January.

- An updated CV, which will be made available to all faculty in an accessible place.
- An updated Office of Academic Affairs dossier outline, Volume 3 (<https://oaa.osu.edu/policies-and-procedures-handbook>).

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

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

The time period covered by the documentation described below is the previous 12 months (for teaching) and the previous 36 months (for scholarship/publications)—of critical importance is the pattern/trajectory of research productivity over this three year period).

1. Teaching

Cumulative SEI 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 provided in Section X of this document).

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. REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION

A. Criteria

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

1. Promotion to the Rank of Associate Professor with Tenure

- a. According to Faculty Rule [3335-6-02](#) (C): *The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.* Tenure is not awarded below the rank of Associate Professor at The Ohio State University.
- b. The Department will establish and exercise high standards for the awarding of tenure since a positive tenure decision has a powerful impact on the quality and future of the Department. Every candidate should be held to a standard of excellence in all aspects of performance. The pattern of performance over the probationary period should yield a high degree of confidence that the candidate will continue to develop professionally in ways relevant to the future of the Department.
- c. This excellence typically will be demonstrated through a pattern of sustained publications in high-quality, peer-reviewed journals (e.g., flagship journals or top tier specialty journals) and scholarly books (from respected academic publishers). Probationary tenure-track faculty are expected to seek external support for their research efforts (serving on grant/foundation proposals as a

Principal Investigator, Co-Investigator or Consultant), but candidates do not have to have been successful at securing external funding prior to promotion and tenure. There is an expectation that at a minimum they will have a goal of submitting an average of one research proposal (competitive or continuing) every other year. Faculty research will be evaluated annually by the Department's Committee of the Eligible Faculty and the Chair, and will be evaluated in the fourth and sixth years by the Committee of the Eligible Faculty.

- d. Excellence in teaching means providing to all students the opportunity to realize their full capabilities for learning in speech and hearing science. Excellence in teaching is demonstrated through student evaluations (SEIs), peer reviews of instructional substance (e.g., syllabi, materials and assignments, feedback on assignments and exams) and process (e.g., clarity of speech and visual materials, engagement of students), curricular enhancement and innovation in the courses taught in the Department's graduate and undergraduate programs, documentable efforts to improve and enhance teaching methods, and so forth. Attention also is paid to supervision of high quality dissertations, masters and honors theses, and scholarly papers and presentations by students.
- e. Excellence in service means making available a high level of professional expertise and experience to the Department, the university, the state of Ohio, and the profession. The amount of the service contribution during the probationary period of assistant professors is limited by design, but the quality of the service contribution must be evident. The most important judgment in the area of service is whether the candidate will achieve excellence in service in the future.
- f. The Department must be able to support the claim that the promotion and tenure of the candidate will improve the overall scholarly quality and standing of the Department. Internal cases for promotion to a higher rank and external hires at that rank should be equally strong and meet the same standards. Internal cases should also be comparable to the quality of external candidates who could be hired, controlling for rank and stage of career.
- g. Excellence in teaching, scholarship, and service is moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics (<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>).

2. Promotion to the Rank of Professor

- a. According to *Faculty Rule 3335-6-02* (C: *Promotion to the rank of professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service.*
- b. The Department expects an individual ready for promotion to professor to be a role model for less senior faculty, for students, and for the profession. While the individual seeking promotion should be assessed in relation to assigned responsibilities, exceptional performance in these responsibilities should be required. Internal cases for promotion and external hires at that rank should be equally strong and meet the same standards. Internal cases also should be comparable to the quality of external candidates who could be hired.
- c. A successful candidate for promotion to professor will have achieved national distinction as a scholar based on high-quality research productivity (defined, as above, in terms of a pattern of sustained publications in top-tier journals and books from respected publishers) and will have an emerging international reputation. It is also expected that a successful candidate will have been active and successful in obtaining external funding for her/his research. The candidate will have demonstrated excellence in teaching as defined as providing to all students the opportunity to realize their full capabilities for learning in speech and hearing science and providing to the most capable and motivated students an enhanced learning experience. The candidate will also have demonstrated excellence and leadership in service having made available a high level of professional expertise and experience to one or more publics including the University, the Columbus Community, the State of Ohio, the nation and professional organizations. Internal cases for promotion to a higher rank and external hires at that rank should be equally strong and meet the same standards. Internal cases should also be comparable to the quality of external candidates who could be hired, controlling for rank and stage of career.

3. Promotion of Clinical Faculty

The primary responsibility of the Clinical Faculty is teaching in the form of didactic coursework and/or clinical precepting. Secondary responsibility is for providing service to the department, profession, and, if the opportunity arises, the college or university. High-quality performance in teaching is also expected. Specific criteria are as follows:

- a. Promotion to the Rank of Clinical Associate Professor.
 - i. Teaching (Clinical Education). Candidates for promotion shall demonstrate excellence in teaching in the clinical education programs of Speech-Language Pathology and Audiology, as well as didactic teaching at the graduate and/or undergraduate levels. Clinical education responsibilities will include, but are not necessarily limited to: clinical supervision/precepting; maintaining patient/client documentation related to clinical education (e.g., patient files, guidance of student written materials, including reports, etc.); clinical scheduling; and serving as the instructor for clinically-oriented courses. The distribution of clinical precepting versus didactic teaching will vary by each clinical faculty member's particular teaching load. Excellence will be demonstrated through peer-review of teaching/precepting evaluations and student evaluation of instruction.
 - ii. Service. Candidates for promotion shall demonstrate a history of service to the Department, the community, and to the disciplines of Speech-Language Pathology and/or Audiology. A history of service to the Department would include membership and leadership on Department committees, contributions toward Development, contributions toward promoting the department, and membership on student committees (e.g., AuD capstones, MA-SLP posters or theses, etc.). A history of service to the community would include community outreach and engagement. A history of service to the discipline would include active participation in one or more of the state organizations, and may include active participation in one or more of the national organizations.
 - iii. Scholarship and Research Activities. Candidates for promotion shall demonstrate a history of scholarly activities. Contributions in this area would include working with tenure-track and/or research faculty in promoting and/or facilitating clinical research within the clinic; sole or co-authored presentations at state conferences; and participation as a committee member on AuD capstone projects or a MA thesis committees. This component of the promotion criteria will be the least-emphasized of the three, and therefore, the expectations will be lower than for Teaching or Service.
- b. Expectations for promotion to the Rank of Clinical Professor.
 - i. Teaching (Clinical Education). Candidates for promotion shall demonstrate continued excellence in teaching. Excellence will be demonstrated through peer-review of teaching/precepting evaluations and student evaluation of instruction. Candidates shall also demonstrate leadership in teaching by advising AuD capstones or MA poster projects, or creating new educational experiences, for example, developing a new course.
 - ii. Service. Candidates for promotion shall demonstrate continued service to the Department, the University, the community, and to the discipline of Speech-Language Pathology and/or Audiology. A history of service to the Department would include membership and leadership on Department committees, contributions toward Development, contributions toward promoting the department, membership/advising on student committees (e.g., AuD capstones, MA-SLP posters or theses, etc.). Service to the University would include membership on committees in Social and Behavioral Sciences, the College of Arts and Sciences, or the University Senate and its related committees. A history of service to the community would include community outreach and engagement. A history of service to the discipline would include active participation in one or more of the national organizations.
 - iii. Scholarship and Research Activities. Candidates for promotion shall demonstrate a history of scholarly activities at the national level. Contributions in this area would include sole or co-

authored presentations at national conferences; publications in peer-reviewed journals and/or non-peer reviewed trade magazines (e.g., ASHA Leader, Audiology Today); and authored or co-authored books or book chapters.

4. Promotion of Research Faculty

- a. Promotion to Research Associate Professor in the Department requires excellence in scholarship as seen in terms of quality and quantity of research publications (especially in terms of peer-reviewed publications in top-tier journals). The candidate should also have demonstrated substantial grant activity. The claim that promotion of the candidate will improve the overall scholarly quality and standing of the Department and program area needs to be supported. Internal cases for promotion and external hires at this rank should be equally strong. Additionally, the research records of research and tenure-track faculty at this rank should be comparable.
- b. The Department expects an individual ready for promotion to research professor to be a role model for less senior faculty, for students, and for the profession. Exceptional performance in research responsibilities is required. Success in obtaining extramural funding for her/his research is also required. Internal cases for promotion and external hires at this rank should be equally strong and meet the same standards. Additionally, the research records of research and tenure-track faculty at this rank should be exceptional and comparable.

B. Procedures

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

1. Candidate Responsibilities

Candidates are responsible for submitting 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.

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

If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed by the Department Chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The Department Chair decides whether removal is justified. (Also see External Evaluations below.)

2. Eligible Faculty Responsibilities

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

- To review this document annually and to recommend proposed revisions to the faculty
- To consider annually, in spring semester, requests from tenure-track, clinical and research 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 that she/he requests under Faculty Rule [3335-6-04](#) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
- Clinical faculty members will generally be considered for a non-mandatory promotion review after six years in rank. A clinical faculty member who is denied a review by the eligible faculty must wait for a minimum of two years before reapplying.
- Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the Department Chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- A decision by the committee to permit a review to take place in no way commits the eligible faculty, the Department Chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
 - **Late Spring:** Suggest names of external evaluators to the Department Chair.
 - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
 - Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
 - Revise the draft analysis of each case following the 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 Department Chair.
 - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
 - Provide a written evaluation and recommendation to the Department Chair in the case of joint appointees whose tenure-initiating unit is another department. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.
- 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.

3. Department Chair Responsibilities

The responsibilities of the Department Chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the Chair and the candidate. (Also see External Evaluations below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
 - of the recommendations by the eligible faculty and department Chair
 - of the availability for review of the written evaluations by the eligible faculty and department Chair
 - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the Department Chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the Department Chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier
- To forward the completed dossier to the College office by that office's deadline, except in the case of associated faculty for whom the Department Chair recommends against promotion. A negative recommendation by the Department Chair is final in such cases.
- To receive the eligible faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the Department Chair's independent written evaluation and recommendation, to the Department Chair of the other tenure-initiating unit by the date requested.

4. 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 promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly/research activities 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 Department Chair after consulting with the candidate and the eligible faculty. If they are solicited, they will be obtained from at least five clinical professors or tenure-track professors from peer institutions. Two of these may be associate professors if the promotion is from clinical associate professor to clinical professor.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This department will only solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and or the usefulness of the letters received, 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 Department Chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

The College provides templates for letters requesting external evaluations from approved potential evaluators, , for lateral appointments (expedited review), and for professors who have had exceptional records in teaching and service. These are available on the College intranet at <https://intranet.asc.ohio-state.edu/apt>.

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

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

C. Documentation

1. General

The promotion and tenure review focuses on the “core dossier” as defined by the Office of Academic Affairs (OAA). This dossier is prepared by the candidate in the format specified by OAA. Well in advance of the semester during which the formal review will be conducted, the Department Chair will provide Candidates with an outline of all materials required for compliance with OAA guidelines. The Department Chair will also provide a list of dates by which all materials (and responses) are due to the Committee of the Eligible Faculty and/or Department Chair.

2. Teaching

Documentation for an evaluation of a candidate's teaching performance includes student ratings and written comments, peer review, indicators of the magnitude of service to the Department's undergraduate and graduate teaching missions. The time period of material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present. Examples of documentation include:

- a. Student evaluations of an instructor will be obtained using the electronic Student Evaluation of Instruction (eSEI) instrument. Evaluations must be conducted for every lecture course and seminar course taught in the Department. Cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) must be presented. Individual SEI student evaluations will be compared to the College and University mean evaluations. Overall mean scores as well as the response patterns to individual SEI items will be examined during Departmental reviews. Faculty members will also be asked to collect discursive comments using the eSEI tool; a summary of these comments will be provided to the Chair and to the eligible faculty for use in the tenure/promotion review.
 - b. Teaching will also be evaluated on a periodic basis through peer visits to the classes with reports to the Chair concerning the peer-evaluation of teaching conducted.
3. Research and Creative Work
The time period of material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion to present.

Research will be evaluated in terms of contribution to the relevant fields of science. Scientific merit will be considered the most important factor. Scholarly/scientific publications and grant acquisition are the usual objective criteria used for evaluation. Scientific recognition or leadership in scientific contribution in other forms as deemed appropriate for the faculty position may also be considered. The quality of clinical activities, in addition to clinical research, may be evaluated by assessing the person's contribution to the professional fields and by assessing the impact it will make on clinical research and applications in the future. Documentation for an evaluation of a candidate's research performance includes information on the quantity and quality (e.g., journal impact ratings, published reviews of books) of publications, magnitude of candidate's contributions to all publications, citations, research funding and proposals submitted, department, college, university, and national research awards. In addition to this information, internal and external letters of evaluation (as noted above), and the candidate's publications are examined.

4. Service

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

Service includes service to the Department, the College, University, Community, State, nation and profession. Service outside the university includes the professional expertise of the faculty member to scholarly associations and groups as well as to the community. Internal to the University it includes service to students and formal and ad-hoc committees as defined in the Department and College Pattern of Administration, the University Senate, and other university offices. Documentation for an evaluation of a candidate's service activities includes information on service provided to the community, Department, College, University, as well as professional service activities (e.g., editorial and reviewing activities, leadership roles for professional organizations). Additionally, attention is given to any service awards or honors won.

VIII. APPEALS

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

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

IX. SEVENTH-YEAR REVIEWS AND APPEALS OF REAPPOINTMENT NONRENEWALS

Faculty Rule [3335-6-05](#) (B) sets forth the criteria and procedures for appeals of a negative promotion and tenure decision and reappointment non-renewals and for seventh year reviews for tenure-track faculty.

X. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

A. Student Evaluation of Teaching

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

B. Peer Evaluation of Teaching

The Department Chair oversees the Department's peer evaluation of teaching process. It is the Chair's responsibility to ensure that the quality of instruction is monitored at all levels.

Annually the Department Chair appoints individual tenured faculty members to serve as peer reviewers for specific courses and instructors for that year. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and encourage the entire faculty's attention to the quality of teaching in the Department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

The responsibilities of the Department Chair are as follows:

- To ensure a peer review of the teaching by probationary tenure-track faculty members at least three times during the first three years of service and at least five times before the faculty member comes up for promotion and tenure review with the goal of adequately assessing teaching at all levels of instruction (e.g., graduate and undergraduate) to which the faculty member is assigned.
- To ensure a peer review of the teaching by probationary clinical faculty members at least three times during the first three years of service. Faculty on five year terms will be reviewed at least four times before the faculty member comes up for the initial reappointment review with the goal of adequately assessing teaching at all levels of instruction (e.g., graduate and undergraduate) to which the faculty member is assigned. Faculty on three or four year terms will be reviewed at least two or three times respectively.
- To ensure a peer review of the teaching by tenured associate professors and non-probationary clinical faculty members at least once every two years, with the goal of assessing teaching at all levels of instruction to which the faculty member is assigned.
- Assistant clinical professors beyond their probationary appointment being considered for promotion must include a minimum of two new peer reviews in their dossiers, and this requirement may mean that evaluations will occur more frequently as candidates prepare for a review.

- Associate professors being considered for promotion must include a minimum of three new peer reviews in their dossiers, and this requirement may mean that evaluations will occur more frequently as candidates prepare for a review.
- Associate clinical professors beyond their probationary appointment being considered for promotion must include a minimum of three new peer reviews in their dossiers, and this requirement may mean that evaluations will occur more frequently as candidates prepare for a review.
- Tenured professors and clinical professors beyond their probationary period will undergo a peer review of one of their courses every two years (the choice of the course to be reviewed will be determined by the Department Chair based on the faculty members past SEIs).
- When the need for a peer review is triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching, the Department Chair will schedule a peer review for a faculty member not currently scheduled for review, including professors. To ensure a peer review of the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The Department Chair is informed that the review took place, but the report is given only to the faculty member who requested the review.

Reviews conducted upon the request of the Department Chair or the faculty member focus on the specific aspects of instruction requested by the Chair or faculty member.

Regularly scheduled teaching evaluations by the peers (the first three situations listed above) are comprehensive and include, in addition to classroom visitation, review of course syllabi, instructional materials, assignments, and exams. Departments should make sure that evaluations of a faculty member's teaching over time are conducted by more than one peer. At the beginning of the semester, the committee will request from the faculty member a list of dates on which visitation would be inappropriate because a quiz or exam is being given, a guest speaker is scheduled, etc.

Peer review focuses particularly on aspects of teaching that most students are not qualified to evaluate, such as: appropriateness of curricular choices given the goals of the course (survey as opposed to required major course), implicit and explicit goals of instruction, quality and effectiveness of testing tools, and appropriateness of approach relative to current disciplinary knowledge. As part of its evaluation the committee examines copies of the faculty member's student end-of-course review summaries from recent years.

At the conclusion of the review, the committee submits a written report to the Department Chair, copied to the faculty member. The faculty member may provide written comments on this report and the committee may respond in writing to those comments if it wishes. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier, unless the faculty member requests that the comments be excluded.

Regularly scheduled reviews are both summative and formative (they provide both an assessment of the faculty member's teaching for use in annual and promotion reviews and advice to improve the faculty member's teaching).