



February 20, 2018

Dr. W. Randy Smith (Academic Affairs, CAA Vice Chair)  
Dr. Maria Miriti (CAA Chair)

Attached is a proposal from the College of Dentistry (COD) to raise the cap on clinical faculty, per University Rule 3335-7-04: Proposals and approval process for a proposed amendment to the Clinical Faculty Appointment cap. The COD needs to increase the number of clinical faculty from the present cap of 40 percent of the total number of tenure, clinical, and research track faculty because of planned increases in the predoctoral (DDS Program) class size and additional community-based, academic dental clinics in the metropolitan Columbus area.

The proposal explains the COD organization and the numbers and types of the different faculty and their responsibilities, and provides rationales for increasing the percent of clinical faculty. These new clinical faculty would be hired after careful search processes and be important contributors to the College educational and service missions. Additional important information about the different COD faculty types and the faculty search process is detailed in the COD Appointments, Promotion and Tenure document, which is also attached.

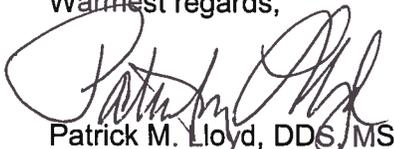
No problems are anticipated with the proposed increase in the percent of clinical faculty. The COD has in place a superb mentoring system within its academic Divisions for integrating new clinical faculty into the College educational programs for predoctoral and graduate students. The COD also plans to grow the tenured faculty in the coming years, which will provide increased research collaboration opportunities for new clinical faculty. An important consequence for approval of this proposal is that our present associated track faculty, who were hired in this category because of the current clinical faculty cap, will have their academic appointments converted to that of clinical faculty, receiving improved faculty benefits.

The COD is requesting a 75 percent clinical faculty cap, as approved in 2016 for the College of Nursing. This increase would be ample for planned future educational and clinical responsibilities and for unforeseen circumstances. This new percentage of clinical faculty lies within the range of Big Ten Alliance dental schools.

This proposal was provided to the COD faculty in advance of a College-wide faculty meeting on February 7, 2018, at which the proposal was presented and discussed. The full-time faculty vote on the proposal was 59-3 in favor.

Thank you in advance for your thoughtful review and careful consideration of this proposal. Please contact me if there is any further information that is needed for its evaluation.

Warmest regards,



Patrick M. Lloyd, DDS, MS  
Dean and Professor

Enclosures: (1) Proposal to Raise the Cap on Clinical-Track Faculty in the College of Dentistry  
(2) College of Dentistry APT Criteria and Procedures (Updated July 24, 2013)

# **Proposal to Raise the Cap on Clinical Faculty in the College of Dentistry**

## **Summary of Proposal**

The purpose of this proposal is to request an amendment to the present University cap on the percentage of clinical faculty in the College of Dentistry (COD), which is specified in Faculty Rule 3335-7 on clinical faculty appointment, reappointment and nonreappointment, and promotion. Section 3335-7-03 (Appointment cap) states that “Unless an exception is approved by the University senate and the board of trustees, clinical faculty may comprise no more than forty percent of the total tenure-track, clinical and research faculty (as defined in rule 3335-5-19 of the Administrative Code) in each of the colleges of the health sciences”.

The COD is requesting that the clinical faculty cap be raised to not more than seventy-five percent of the total number of tenure-track, clinical and research faculty. This increase in the number of clinical faculty will enable the COD to carry out its future educational and clinical missions more effectively, given plans for increased predoctoral student class sizes and for the expansion of the college’s clinical enterprise. The latter expansion stems from increased demands by the Medical Center to provide medically-necessary dental care and collaborative partnerships with OSUWMC in the development of a network of community-based primary care clinics. This growth in the college’s clinical enterprise will provide the resources needed to: (1) stabilize student tuitions (the highest at Ohio State); (2) offer competitive salaries for faculty recruitment; (3) subsidize the academic and research programs of the college; and (4) assist in meeting the college’s debt service obligation on its new facility.

Supporting information is provided in this proposal to explain the COD mission and goals, organizational structure and educational programs, types of faculty and their responsibilities with specific attention to clinical faculty, and the need for additional clinical faculty to aid in implementation of future COD plans. The requested new percentage of clinical faculty is consistent with the range in other Big-Ten Academic Alliance dental schools.

## **Background for College of Dentistry**

### **College Mission and Goals — ADA Accreditation Process**

The mission of the COD is to produce dental professionals who are prepared for entry into general practice, advanced education, or specialized practice. The goals of the COD are to graduate students who are prepared to meet the oral health care needs of the citizens of Ohio and the nation, to conduct research that will expand the scientific base upon which dentistry is practiced, and to provide service to the dental profession. The organization of the COD to accomplish this mission and goals can be found on the College website (<https://dentistry.osu.edu>).

The Commission on Dental Accreditation (CODA) conducts a site visit every seven years to determine if the dental school should be accredited ([www.ada.org/coda](http://www.ada.org/coda)). A team of dental education specialists examines comprehensively the predoctoral (DDS) program, along with the dental hygiene and advanced dental education programs if these are offered, as well as the dental institution and University support of the educational programs. The dental school receives the extensive CODA guidelines, which are periodically updated because of the continuous evolution of dental education, at least two years in advance of the accreditation site visit. All current COD programs are fully accredited by CODA.

## **Organization of College of Dentistry into Divisions**

The COD is organized into the ten academic Divisions shown in Table 1. These Divisions represent the areas encompassing modern dental education, along with dental hygiene. Dental hygienists are a highly important component of the dental office team, and dental schools traditionally have dental hygiene programs. Each Division has several faculty members, and faculty can have teaching responsibilities at both the predoctoral (DDS) / undergraduate (Dental Hygiene) level and the graduate level.

**Table 1. Academic Divisions in College of Dentistry**

Biosciences  
Dental Hygiene  
Endodontics  
General Practice and Materials Science  
Oral and Maxillofacial Pathology and Radiology  
Oral and Maxillofacial Surgery and Dental Anesthesia  
Orthodontics  
Pediatric Dentistry  
Periodontology  
Restorative Science and Prosthodontics

## **Predoctoral and Postdoctoral Education — Degrees Offered**

The COD has four types of educational programs which are listed in Table 2 and described in the paragraphs that follow.

## **Table 2. Educational Programs in College of Dentistry**

- Predoctoral (DDS)
- Dental Hygiene (BSDH and MS)
- Dental Specialty (Graduate, Postgraduate, and Internship)
- Academic Doctoral (PhD)

Predoctoral dental education, which normally follows four years of undergraduate education with a baccalaureate degree, has a comprehensive four-year curriculum in basic science, dental science, and patient treatment that includes summers between the first and second, second and third, and third and fourth years. Upon satisfactory completion of academic and clinical requirements, as well as demonstrating a level of competency in some twenty-plus clinical domains, a dental student graduates with the Doctor of Dental Surgery (DDS) degree (professional doctorate). The COD graduation requirements include satisfactory completion of the National Board Parts I and II academic examinations. Graduates must also pass a regional dental licensure examination, administered by an external testing agency, before being issued a license to practice. The specific examination taken is dependent on the state in which the graduate is intending to practice.

Dental hygiene students are undergraduates, and must first complete two years of general education courses and program prerequisites, which are followed by two years in the professional program. Graduates (BSDH degree) must also satisfactorily complete a Dental Hygiene Board examination to receive a license. The COD offers an Expanded Functions for the Dental Auxiliary (EFDA) program, administered by dental hygiene faculty, which is designed to prepare Certified Dental Assistants or Registered Dental Hygienists to apply for the EFDA board examination administered by the Commission on Dental Testing in Ohio. An online Master of Science program in Dental Hygiene (MDH) is also administered by this Division.

The COD has MS/Certificate advanced education programs in 7 ADA-recognized dental specialties: endodontics, oral and maxillofacial pathology, oral and maxillofacial surgery, orthodontics, pediatric dentistry, periodontics, and prosthodontics. There are also an accredited advanced general dentistry program in dental anesthesiology and an accredited general practice residency program. These education programs, which are for dental school graduates, combine clinical experience with didactic courses at advanced levels. The program graduate receives a Certificate of satisfactory completion of the particular specialty training, and is eligible to take the respective specialty board examination. Receipt of the MS degree, in addition to the Certificate, requires the completion of thirty-plus graduate credits of course work and approval by the Graduate School of a thesis for a completed research project.

The COD also offers a non-degree postgraduate program, internships in several of the clinical specialty programs, and numerous postgraduate continuing education (CE) courses. These offerings provide up-to-date education for practicing dentists, dental hygienists, and dental assistants who must meet CE requirements to maintain their licensure.

An academic doctoral degree is offered through the Oral Biology PhD program, which can be integrated with advanced clinical training in any of the dental specialty programs, or through combined programs in biomedical sciences, neuroscience, and biomedical engineering. Completion of this program, which involves advanced scientific coursework and a dissertation approved by the Graduate School on a comprehensive research project, normally requires four years beyond the baccalaureate degree. A combined DDS/PhD program is also available.

## Information about College of Dentistry Faculty

### Types of Faculty

The COD has four types of full-time faculty (75% or greater FTE). All tenure-track, clinical, and research faculty are full-time. Some of the associated faculty are also full-time. The current numbers for the different types of full-time faculty in the COD are shown in Table 3. The present number of tenure-track faculty (52) is essentially equal to the sum (51) of the numbers of clinical faculty, research faculty, and full-time associated faculty. The ratio of the number of tenure-track faculty to the total number of tenure-track, clinical, and research faculty (52/88) is 59.1%.

**Table 3. Number of Full-Time Faculty in College of Dentistry (January 2018)**

Tenure-Track	52
Clinical	34
Research	2
Associated	15

New full-time faculty in the COD are normally hired at the assistant professor level, unless higher rank is warranted based on background and experience. Appointment/reappointment, promotion, and tenure processes for faculty are presented in detail in the Appointments, Promotion and Tenure document for the COD (appended to this document), which has been approved by the University Office of Academic Affairs.

The formal 40-hour work week for dental faculty is subdivided into ten half-days of four hours. Research-intensive tenure-track faculty generally have assignments of 75-80% research / 10-15% teaching / 10% service. Clinical scholars, on a tenure track, have 30-50% research / 30-50% teaching / 10-20% service, depending upon whether the responsibilities include an administrative component. Clinical faculty generally have 80% teaching and 20% service responsibilities, with no allocated research time. However, these faculty must present evidence of scholarship for promotion beyond assistant professor. Faculty with dental or dental hygiene degrees/licenses generally spend one-half to one day per week in the intramural Dental Faculty Practice, which provides a 10-20% service component; these faculty also perform service on Division, COD, and University committees. Research faculty are supported by research funding

as principal investigators (PI), although the research faculty member can be a co-principal investigator (Co-PI) of a funded grant. These faculty may be permitted to have some teaching responsibilities and limited committee service.

Most COD faculty in the academic Divisions other than Dental Hygiene have the DDS/DMD degree. Many have terminal MS degrees earned through advanced dental education and other academic programs, and some have PhD degrees. All faculty in the Division of Biosciences have PhD degrees in a basic science with subsequent postdoctoral research training, which enables them to mentor effectively graduate students performing basic science-oriented research for MS and PhD degrees and other faculty research. Faculty in the biomaterials area for the Division of General Practice and Materials Science have academic PhD degrees in engineering/science without the DDS degree, and also provide research mentoring for graduate students and other faculty. All dental hygiene faculty have undergraduate degrees through dental hygiene programs, and some faculty have graduate degrees through advanced education programs.

The current assignments of the 34 full-time clinical faculty in the COD by Division are summarized in Table 4. The very large number of these faculty who are assigned to the Division of General Practice and Materials Science is the result of the predoctoral dental clinics being administered by that Division. A large number of full-time and part-time faculty have principal assignments in these eight predoctoral Comprehensive Care Clinics.

**Table 4. Number of Clinical Faculty by Division in College of Dentistry (January 2018)**

Dental Hygiene	3
General Practice and Materials Science	16
Oral and Maxillofacial Pathology and Radiology	4
Oral and Maxillofacial Surgery	3
Pediatric Dentistry	4
Periodontology	2
Restorative Science and Prosthodontics	2

The COD has 115 associated faculty, with FTE's ranging from 0 (*pro bono* service) to 1.00. This number includes 20 residents in two specialty programs (Oral and Maxillofacial Surgery; General Practice Residency), who are appointed as Clinical House Staff in the College of Medicine, along with 12 part-time retired faculty who continue to provide educational service. Excluding these 20 residents, there are 16 full-time and 79 part-time associated faculty.

The COD has utilized the category of associated faculty, which was approved by the University Office of Academic Affairs, to hire new full-time faculty who would normally be placed on the clinical track in the absence of an appointment cap. If this petition to modify the clinical appointment cap is approved, all full-time associated faculty other than the Clinical House Staff residents and retired faculty would be transferred to the clinical track, the track they would

originally have been appointed to had there not been a 40% cap on the percent of such full-time faculty.

The part-time associated faculty provide much needed educational support to the full-time faculty especially in the preclinical laboratories, where students refine their hand-eye coordination on dental-mannequins during their first and second years of dental school. They are also of substantial help in the predoctoral and graduate clinics where students treat patients during their third and fourth years or during specialty programs.

The final group of faculty is the adjunct faculty. These 127 non-salaried faculty have affiliations outside of the COD, and come occasionally to the College as needs arise to provide important educational service for the individual Divisions where they are appointed. The majority of the commitment from these faculty is at our 30-plus community-based education sites around Ohio or by providing an occasional lecture or seminar in one of the predoctoral or graduate courses.

Table 5 summarizes the assignments of the present 115 associated faculty to the COD Divisions, and indicates the numbers of full-time and part-time faculty. The largest number of associated faculty are assigned to the Division of General Practice and Materials Science, because this Division administers the preclinical laboratories and predoctoral dental clinics in addition to the General Practice Residency program where the residents have this type of faculty appointment.

**Table 5. Present Number of Associated Faculty by Division in College of Dentistry (January 2018)\***

Biosciences	3 part-time
Dental Hygiene	4 part-time
Endodontics	1 full-time and 12 part-time
General Practice and Materials Science	19 full-time and 20 part-time
Oral and Maxillofacial Pathology and Radiology	1 full-time and 2 part-time
Oral and Maxillofacial Surgery	11 full-time and 5 part-time
Orthodontics	12 part-time
Pediatric Dentistry	3 part-time
Periodontology	8 part-time
Restorative Science and Prosthodontics	3 full-time and 11 part-time

\*The numbers of full-time faculty include Clinical Instructor House Staff (residents) in the Division of General Practice and Materials Science (9) and the Division of Oral and Maxillofacial Surgery (11). One Clinical Instructor House Staff resident in the latter Division has a part-time appointment.

## **COD Faculty Teaching Responsibilities and Comparisons to Medicine and Nursing**

In the COD, teaching responsibilities for the tenure-track and clinical faculty can be similar in type. Both faculty are permitted to direct courses, provide support for didactic (lecture) courses and preclinical laboratories, and supervise students in the dental clinics. Clinical faculty can also provide instruction at the graduate level for specialty training, primarily in the advanced dental clinics, and with special permission from the Graduate School serve on MS thesis committees. These expanded responsibilities are carried out through close interactions with senior tenure-track faculty who provide advice and mentoring. The major differences between the responsibilities of the clinical and tenure-track faculty is the significant scholarship requirement for tenure-track faculty who have substantial allocated research time and much less assigned teaching time, with the expectations of publications of hypothesis-driven investigations and research funding.

It is important to note that clinical faculty in the COD have broader responsibilities than clinical faculty in the College of Medicine and the College of Nursing. In the College of Medicine, clinical faculty provide the bulk of instruction for students involved with the clinical treatment of medical patients. In the College of Nursing, regulations in the profession require that clinical instruction only be provided by the clinical faculty.

Moreover, in the COD, tenure-track faculty with dental degrees have major responsibilities in the dental clinics. These faculty are involved, along with the clinical faculty, in supervising patient treatment by predoctoral students and graduate students (residents) in specialty programs, and they provide in-depth educational insights during the clinical procedures.

## **Other Background and Proposal for Clinical Faculty Cap Amendment**

### **Historic Information about Clinical Dental Faculty and Appointment Cap**

Before the early 2000's, all COD faculty had tenure-track appointments with traditional 50% teaching / 30% research / 20% service responsibilities. Considerable state-level budgetary pressures on the University led to creation of the clinical faculty category in the health sciences areas. These faculty would have clinical teaching responsibilities, without the requirement for significant research publications and research funding that are expected for tenure-track faculty.

This new faculty category was particularly advantageous to the medical science units from a budgetary viewpoint, since clinical faculty with 80% teaching / 20% service (e.g., medical or dental practice) responsibilities could cover a substantially greater portion of the given College teaching needs. Another presumptive positive aspect was that the clinical faculty would be expected to have substantial clinical experience that could be imparted during student instruction.

Faculty Rule 3335-7 (<https://trustees.osu.edu/rules/University-rules/chapter-3335-7-rules-of-the-University-faculty-concerning-clinical-faculty-appointment-reappointment-and-nonreappointment-and-promotion.html>), originally dating from July 2002, caps the number of clinical faculty appointments at no more than forty percent of the total tenure-track, clinical, and

research faculty. This rule evolved from robust discussions between the health sciences units and University about these concerns in the previous paragraph. Rule 3335-7 was subsequently successfully petitioned in February 2003 by the College of Medicine, which now has no cap on clinical faculty appointments. In February 2016, the College of Nursing successfully petitioned to have the clinical faculty cap raised to 75% over the 2017 – 2021 strategic planning time period. As previously pointed out in this document, the situations for clinical faculty are uniquely different in the Colleges of Medicine, Nursing, and Dentistry, because of variations in the educational modalities for students in these health science areas and in the rules for the educational processes from the three governing professional organizations.

### **Future Plans for COD and Proposed New Cap for Clinical Faculty**

The COD is currently renovating and expanding the Postle Hall facilities, with expected completion mid-year 2020, which will accommodate a larger number of predoctoral dental students. Beginning in the autumn semester of 2018, there will be 120 predoctoral students in the first-year class, which will be an increase of 10 over the current 110 predoctoral students in each of the classes for four-year the DDS program. This will be an increase of 9% in the overall predoctoral class size. Typically, the COD currently has 94 students from the state of Ohio in the class of 110 students, and the additional 10 students will be residents of Ohio. Thus, the number of predoctoral students from Ohio will change from 94 to 104, an increase of 11%.

In addition, there are plans underway by the OSUWMC to increase the number of community-based primary care clinics, similar to the one established in Upper Arlington in 2016, which will include dental operations staffed by COD faculty. These off-campus clinics offer communities access to the unique expertise of college faculty, in a comprehensive care delivery model, while enhancing the educational experiences of the dental students. Highly qualified clinical faculty will need to be recruited for these new clinic sites. These new clinical faculty, selected after a careful search process, will be highly qualified dental educators who also provide strong support to the COD teaching mission.

The planned future number of full-time COD faculty to accommodate these expanded responsibilities is shown in Table 6.

**Table 6. Planned Number of Full-Time Faculty in College of Dentistry**

Tenure-Track	58
Clinical	61
Research	3

Comparing Tables 3 and 6, it can be seen that the plan is to grow the number of tenure-track faculty. The associated faculty shown in Table 3 have been incorporated into the clinical faculty shown in Table 6. The ratio (50%) of the number of full-time clinical faculty (61) to the total number of full-time tenure-track, clinical, and research faculty (122) in Table 6 would be considerably below the proposed new cap on the proportion of clinical faculty.

The COD is proposing that the present clinical faculty cap of 40% be increased to 75%, the same ratio that was approved in 2016 for the College of Nursing. The COD administration has carefully considered the number of clinical faculty that would be needed for planned future activities, and an increase in the cap to 60% should be adequate. However, in the event of unexpected circumstances, the requested new cap of 75% would eliminate the need for another petition to the university to raise the cap in the foreseeable future.

An important positive aspect of the cap increase is that the former full-time associated faculty, who will automatically become clinical faculty, will receive much better faculty benefits from the University. The ability of the Dean to offer better faculty benefits is particularly important for recruiting highly qualified clinical faculty to assist in administering and managing the new clinic and service obligations of the COD.

No concerns are foreseen for the COD with the larger number of clinical faculty. Careful faculty search processes employed by the COD have previously resulted in the hiring of highly qualified clinical faculty who have integrated well into the College academic programs. Strong educational relationships have been developed over many years between the tenure-track and clinical faculty; all Divisions have positive faculty relationships. Senior faculty will continue to provide mentoring for junior faculty, and all Divisions are very experienced in the acclimation process for new faculty. This excellent internal faculty support system will assure that the COD maintains its strong emphasis on skilled faculty teaching and faculty scholarship as the number of clinical faculty increases in the future.

### **Clinical Faculty Percentages for Other Dental Schools**

The percentages for clinical faculty at other Big-Ten Academic Alliance dental schools are shown in Table 7.

**Table 7. Clinical Faculty at Other Big-Ten Alliance Dental Schools (June 2017)**

Indiana	50%
Iowa	60%
Maryland	60%
Michigan	55%
Nebraska	40%
New Jersey	80%

It can be seen that a new percentage cap of 60% for clinical dental faculty at Ohio State would be consistent with the percentages for these other dental schools and that the requested cap of 75% for Ohio State lies within the range for the other Big-Ten institutions. The considerably different percentages for Nebraska (much smaller) and New Jersey (tenure track only awarded to research-intensive faculty) in Table 7, compared to the other institutions, arise from

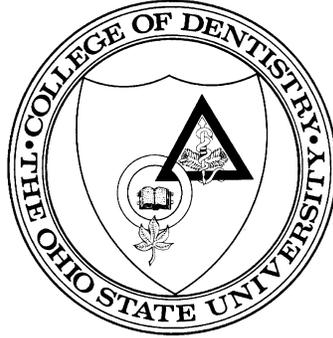
differences in the predoctoral student enrollment and the nature of the educational programs at these dental institutions, along with the relative costs of employing tenure-track dental faculty members (e.g., start-up research funding) in these geographical areas.

### **Presentation of Proposal to College Faculty**

The general scope of this proposal was presented to the COD Executive Committee (EC) on November 15, 2017. The Division Chairs and senior COD administration are members of the EC. Committee members were unanimously supportive of the proposal to amend the clinical cap percentage to 75% and provided comments that were incorporated in the proposal. The document was presented to the College faculty for review and subsequently discussed at a College-wide faculty meeting on February 7, 2018, with a full-time faculty vote of 59 in favor and 3 opposed.

**The Ohio State University College of Dentistry**

**Appointments, Reappointments, Promotion and Tenure  
Criteria and Procedures**



**Approved by Faculty  
April 18, 2013**

**Updated July 24, 2013**

*(Based on procedural recommendations  
by the Office of Academic Affairs)*

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## **I Preamble**

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (<http://trustees.osu.edu/rules/university-rules.html>); 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/handbook.html>); and other policies and procedures of the college and university to which the college and its faculty are subject.

Should those rules and policies change, the college will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the dean.

This document must be approved by the dean, faculty, and the Office of Academic Affairs before it may be implemented. It sets forth the missions of the college and university, its criteria and procedures for faculty appointments/reappointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the college and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to college mission and criteria. The Office of Academic Affairs considers the College of Dentistry to be equivalent to a university department for administrative purposes, with the dean serving as department chair.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 (<http://trustees.osu.edu/rules/university-rules.html>) 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 (<http://trustees.osu.edu/rules/university-rules.html>) and other standards specific to this college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

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

## **II College Mission**

The mission of the College of Dentistry is to produce dental professionals who are prepared for entry into practice, advanced education or specialized practice, and to conduct research that will expand the scientific base upon which dentistry is practiced. Graduates are prepared to meet the oral health care needs of the citizens of Ohio and the nation, to conduct research, and to provide service to the profession.

## **III Definitions**

### **A Committee of the Eligible Faculty**

#### **1 Tenure-track Faculty**

The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty whose tenure resides in the college. If rank is involved, the eligible faculty for promotion to that rank vote on the rank decision.

The eligible faculty for reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the

college, excluding the assistant and associate deans, the executive vice president and provost, and the president.

For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides in the college, excluding the assistant and associate deans, the executive vice president and provost, and the president. Historically, the College of Dentistry has not appointed probationary professors.

## **2 Clinical Faculty**

The eligible faculty for appointment reviews of clinical faculty consists of all tenure-track faculty and clinical faculty whose tenure or appointment, respectively, resides in the college. If rank is involved, the eligible faculty for promotion to that rank vote on the rank decision.

The eligible faculty for reappointment and promotion reviews of clinical faculty consists of all tenured faculty and all nonprobationary clinical faculty of higher rank than the candidate for associate professors and of the same rank for professors, whose tenure or appointment, respectively, resides in the college, excluding the assistant and associate deans, 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, clinical and research faculty whose tenure or appointment, respectively, resides in the college. If rank is involved, the eligible faculty for promotion to that rank vote on the rank.

The eligible faculty for promotion reviews of research faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the college, all nonprobationary clinical faculty of higher rank than the candidate whose primary appointment is in the college, and all nonprobationary research faculty of higher rank than the candidate whose primary appointment is in the college, excluding the assistant and associate deans, 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 (e.g., dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from a promotion review of that candidate.

## **5 Minimum Composition**

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

## **B Appointments, Promotion and Tenure Committee**

The college has an Appointments, Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of six tenured faculty members, at least three of whom are at the rank of professor and one professor of clinical dentistry. The term of appointment is five years. Each year the dean appoints a new member from

nominations received from Faculty Council; the dean will request additional nominations if he/she considers that no one in the initial group of nominations is suitable for the Appointments, Promotion and Tenure Committee. The committee functions in accordance with Faculty Rules 3335-6-02 and 3335-7-05, 08, 09, and 10 (<http://trustees.osu.edu/rules/university-rules.html>).

The chair is a professor appointed by the dean just before the beginning of the third year of that member's term. The chair's term continues through the third and fourth years, and that person serves as advisor to the succeeding chair in the fifth year and acts as the Procedural Designee. In the year when the former chair has rotated off the committee, the current chair will select another member of the committee to serve as the Procedural Designee. The Procedural Designee should be a professor, since he/she will need to attend eligible faculty meetings for discussion of cases at the professor rank.

When considering cases involving clinical faculty, the Appointments, Promotion and Tenure Committee may be augmented to have two nonprobationary clinical faculty members appointed by the dean.

When considering cases involving research faculty, the Appointments, Promotion and Tenure Committee may be augmented to have two nonprobationary research faculty members appointed by the dean.

### **C Quorum**

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the dean has approved an off-campus assignment. Faculty members who recuse themselves because of a conflict of interest are not counted when determining quorum.

The dean can attend the meeting, but does not vote. The associate and assistant deans cannot attend the meeting. Members of the Appointments, Promotion and Tenure Committee who are eligible by rank count in determining the quorum.

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

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

Absentee ballots and proxy votes are not permitted.

### **1 Appointment**

A positive recommendation from the eligible faculty for appointment is secured when 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 is positive.

## IV Appointments

### A Criteria

The College of Dentistry is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the college. 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 college. 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 college. The search is either cancelled or continued, as appropriate to the circumstances.

For a joint appointment, the College of Dentistry and the other unit(s) should reach agreement on its terms before seeking an individual to fill the position so that these terms can be communicated clearly to candidates. These terms, modified as a consequence of negotiation with a particular candidate where appropriate, must be set forth in a memorandum of understanding (MOU). The MOU must be signed by the dean of the College of Dentistry and both the chair(s) of the other department(s) and the governing dean(s) for the department(s). (See <http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>)

For appointments that have teaching responsibilities, the candidate will be expected to meet the following criteria that will be used for evaluation of teaching effectiveness:

- Has knowledge of the subject.
- Understands appropriate teaching tools and uses these tools for effective teaching.
- Makes efforts for continuous growth and remaining current in the field of expertise.
- Has ability to organize and present subject matter with clarity, logic and enthusiasm.
- Has capacity to interact effectively with students in order to motivate, stimulate, and inspire them.
- Maintains personal attributes of industry, integrity, open-mindedness, objectivity, and fairness.

### 1 Tenure-track Faculty

The College of Dentistry has two types of tenure-track faculty: Scientist and Clinician Scholar. The Scientist is not involved in the clinical teaching of students but may be involved with preclinical and didactic instruction. The Clinician Scholar has responsibilities that include the clinical teaching of students and may participate in the college Dental Faculty Practice. The appointment criteria and the promotion criteria (see sections VII.A.1 and VII.A.2) vary for these two types of faculty and their areas of expertise. Scholarship is required for all tenure-track faculty members. Board certification is a positive factor for faculty appointment in clinical areas where such certification is appropriate.

**Instructor.** Appointment at the rank of instructor is made only when the applicant lacks a graduate degree and/or experience. The college will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the third year of appointment, the third year is a terminal year of employment.

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

probationary period. In addition all probationary faculty members have the option to be considered for early promotion.

**Assistant Professor.** An earned terminal degree (DDS/DMD, or the equivalent; PhD, MD, EdD; or MS or the equivalent for dental hygiene) is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the college 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 Appointments, Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

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

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

## 2 Clinical Faculty

Clinical faculty members serve in appointments totaling 50% or more annual employment to the college. The primary responsibility of these faculty members will normally include clinical, didactic, and laboratory instruction and, in some cases, clinic administration. Some scholarship is required.

Appointment of clinical faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to clinical faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the college 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 (<http://trustees.osu.edu/rules/university-rules.html>).

**Instructor of Clinical Dentistry.** Appointment is normally made at the rank of instructor of clinical dentistry when the appointee has not completed the requirements for the terminal degree (DDS/DMD, or the equivalent; PhD, MD, EdD; or MS or the equivalent for dental hygiene) or not obtained the required licensure/certification at the time of appointment. The college will make every effort to avoid such appointments. An appointment at the instructor level is limited to a four-year contract. In such cases, if the instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

**Assistant Professor of Clinical Dentistry.** A terminal degree (DDS/DMD, or the equivalent; PhD, MD, EdD; or MS or the equivalent for dental hygiene), and the required licensure/certification, if appropriate in his/her area of clinical expertise, are the minimum requirements for appointment at the rank of assistant professor of clinical dentistry. Evidence of ability to teach is required and to produce scholarship is desirable. In clinical areas where appropriate, board certification is a positive factor.

**Associate Professor of Clinical Dentistry and Professor of Clinical Dentistry.** Appointment at the rank of associate professor of clinical dentistry or professor of clinical dentistry requires that the individual have the required licensure/certification in his/her area of clinical expertise, and meet, at a minimum, the college's criteria — in teaching, professional practice and other service, and scholarship — for promotion to these ranks. In clinical areas where appropriate, board certification is a positive factor.

### **3 Research Faculty**

Appointment of research faculty entails one- 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 college 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 (<http://trustees.osu.edu/rules/university-rules.html>).

**Research Assistant Professor.** Appointment at the rank of research assistant professor requires that the individual have a doctorate and a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program. The individual is expected to currently have grant funding or to submit a grant application within one year of appointment. The grant or grant application will be competitive and peer-reviewed, analogous to an NIH R03, R21, R01 or NSF grant.

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

### **4 Associated Faculty**

Associated faculty appointments are made for up to three years in length and at 49% FTE or below (<http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>).

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

**Clinical Instructor of Practice, Clinical Assistant Professor of Practice, Clinical Associate Professor of Practice, Clinical Professor of Practice.** Associated clinical appointments may be salaried or non-salaried. Associated clinical rank is determined by applying the criteria for appointment of clinical faculty. Associated clinical faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of clinical faculty.

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments are rarely compensated. Adjunct faculty appointments are given to individuals who give some academic service to the college, such as teaching a course or collaborating in scholarship activities, for which a faculty title is appropriate. 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.

**Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.**

Visiting faculty appointments may either be salaried or non-salaried. Visiting faculty members on leave from a 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 College of Dentistry by a faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in the college. Appropriate active involvement includes collaboration in scholarship activities, graduate student advising, teaching some or all of a course from time to time, substantial other academic service, 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/handbook.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 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 dean and the Office of Academic Affairs in advance. Search procedures must be consistent with the university policies set forth in the most recent update of A Guide to Effective Searches ([www.hr.osu.edu/hrpubs/guidesearches.pdf](http://www.hr.osu.edu/hrpubs/guidesearches.pdf)).

Searches for tenure-track faculty proceed as follows:

The dean provides a written approval for the division chair to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise. The dean appoints the search committee and its chair, in consultation with the division chair. The search committee consists of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the division. The dean may appoint faculty from other divisions in the college and from other colleges who could benefit the search process. The dean may also appoint students, residents, part-time faculty, and others as appropriate who could benefit the search process.

The search committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.

- Develops a search announcement for internal posting in the university Personnel Postings through the Office of Human Resources Employment Services ([www.hr.osu.edu/](http://www.hr.osu.edu/)) and external advertising, subject to the division chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, and credentials. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that at least one print (as opposed to online) advertisement appears in a location likely to be read by qualified potential applicants. The university does not grant tenure in the absence of permanent residency, 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 circulated professional journal.
- Screens applications (which include CV's) and letters of recommendation and presents to the dean a summary of those applicants (usually three to five) judged worthy of interview. If the dean agrees with this judgment, on-campus interviews are arranged by the search committee chair, assisted by the dean's office. If the dean does not agree, the division chair in consultation with the dean determines the appropriate next steps (solicit new applications, review other applications already received, or suspend the search).
- In some cases, such as the search for a division chair or an associate dean, off-campus interviews may be necessary. The procedures for off-campus interviews are developed by the search committee in consultation with the dean. Following completion of the off-campus interviews, the remainder of the process proceeds as described below when on-campus interviews are completed.

On-campus interviews with candidates must include opportunities for interaction with and feedback from faculty groups, including the search committee; students/residents; the division chairs; and the dean or designee. In addition, all candidates make a presentation to the faculty and others on their scholarship and area of expertise, which may be administration. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the search committee meets to discuss perceptions and preferences, and to vote on each candidate. The chair of the search committee prepares a report on the strengths and weaknesses of the candidates judged by the committee to be worthy of consideration by the dean. This report is submitted to the dean without a ranking of the candidates.

If the offer involves senior rank, the eligible faculty members review the CV and external letters of recommendation, and vote also on the appropriateness of the proposed rank. Five letters from external evaluators are required for review, following the same protocol for promotion of currently appointed tenure-track faculty to senior ranks. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The chair of the Appointments, Promotion and Tenure Committee reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the dean.

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

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

## **2 Clinical Faculty**

Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview is on clinical/professional practice rather than scholarship, and exceptions to a national search only requires approval by the dean.

## **3 Research Faculty**

Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that during the on-campus interview the candidate is asked to make a research presentation, and exceptions to a national search only require approval by the dean.

## **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 division chair, the dean, and the executive vice president and provost.

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

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

## **5 Associated Faculty**

The appointment, review, and reappointment of all compensated associated faculty is decided by the division chair in consultation with the dean.

Appointment of non-salaried adjunct or visiting faculty may be proposed by any faculty member in the college. If the proposal is acceptable to the division chair, the division chair in consultation with the dean extends a verbal offer and the dean extends the formal, written offer.

Associated faculty appointments are generally made for a period of up to three years, unless a shorter period is appropriate to the circumstances. All associated faculty appointments expire at the end of the appointment term and must be formally renewed to be continued. Adjunct appointments may be renewed only when the non-salaried academic service for which the appointment was made continues. Visiting appointments are limited to three consecutive years at 100% FTE. Lecturer appointments are usually made on a semester by semester basis.

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

## **6 Courtesy Appointments for Faculty**

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

## **V Annual Review Procedures**

The college 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 (1) performance in teaching, scholarship, and service, in relation to the percent effort allocated, (2) on any additional assignments and goals specific to the individual, and (3) on criteria for the rank 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 division chair no later than April 30.

The annual review letter must include a reminder (per Faculty Rule 3335-3-35 (<http://trustees.osu.edu/rules/university-rules.html>)) that all faculty have the right (per Faculty Rule 3335-5-04 [<http://trustees.osu.edu/rules/university-rules.html>])) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

## **A Probationary Tenure-track Faculty**

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

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

If the division chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-04 [<http://trustees.osu.edu/rules/university-rules.html>])) is invoked. Following completion of the comments process, the complete dossier is reviewed by the dean who makes the final decision on renewal or nonrenewal of the probationary appointment.

## **1 Fourth-Year Review**

The fourth-year review of probationary faculty is different from preceding annual reviews in that it requires consideration by the eligible faculty, and recommendation of reappointment or nonrenewal of appointment by the dean must be forwarded to the provost who makes the final decision. The format for documentation and procedures for submission follow that for review for promotion and tenure.

Probationary faculty members seeking a renewal of appointment for the fifth year must present a dossier to the Appointments, Promotion and Tenure Committee by August 1 of the fourth year. The dossier must contain the elements required by the University for a fourth-year review (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>).

The division chair should submit his/her letter of recommendation for the fourth-year review to the Appointments, Promotion and Tenure Committee by the August 1 deadline.

External evaluations are only solicited when the division chair, in consultation with the chair of the Appointments, Promotion and Tenure Committee, 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 Appointments, Promotion and Tenure Committee does not feel otherwise capable of evaluating the scholarship without outside input.

The Appointments, Promotion and Tenure Committee will review the dossier for completeness and consistency.

During October, all eligible faculty (above the rank of the probationary faculty member) will have an opportunity to review the dossier online or in the dean's office and provide written commentary for discussion at the meeting of the eligible faculty.

The chair of the Appointments, Promotion and Tenure Committee will call for and lead a meeting of the eligible faculty at which discussion of the candidate's credentials and a vote on the candidate's suitability for reappointment will occur. The guidelines for the review are delineated at this meeting by the chair.

The chair of the Appointments, Promotion and Tenure Committee will present to the assembled eligible voting faculty an in-depth analysis of the candidate's strengths and weaknesses, with attention to the candidate's adequacy in meeting the standards in teaching, scholarship, and service. These comments will provide a starting point for a discussion of the candidate by the assembled eligible faculty, prior to a vote of that body. The results of the vote, summaries of the Appointments, Promotion and Tenure Committee's analysis, and the discussion by the eligible faculty will be forwarded in a confidential letter to the dean by the first week of December.

The letter written by the Appointments, Promotion and Tenure Committee for the candidate will become a part of the candidate's dossier. The dean will then perform a review. Regardless of whether the review is favorable or unfavorable, the probationary faculty member will be notified by the dean of the outcome and will have the option of having ten calendar days from the date of notification to submit a written comment. Any comment from the candidate, along with the dean's response, will become part of the dossier, which is then submitted to the provost. Only one iteration of the comment process is permitted.

The dossier is also retained as a part of the faculty member's records. It becomes available to the Appointments, Promotion and Tenure Committee and the eligible faculty during the sixth-year review process.

## **2 Exclusion of Time from Probationary Period**

Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu/rules/university-rules.html>) 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 (<http://oaa.osu.edu/handbook.html>).

## **B Tenured Faculty**

Associate professors and professors are reviewed annually by the division chair. The chair conducts an independent assessment of performance based on the criteria for the rank and identified goals, then meets with the faculty member to discuss his/her performance and future plans and goals, and prepares a written evaluation on these topics, which is submitted to the dean. The faculty member may provide written comments on the review.

## **C Clinical Faculty**

The annual review process for clinical probationary and nonprobationary faculty is identical to that for tenure probationary and tenured faculty, although the standards or criteria vary.

In the penultimate contract year of a clinical faculty member's appointment, the division chair and dean must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu/rules/university-rules.html>) 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 proceeds in the manner described in section VII.B.2 on page 22. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

## **D Research Faculty**

The annual review process for research probationary and nonprobationary faculty is identical to that for tenure probationary and tenured faculty, although the standards or criteria vary.

In the penultimate contract year of a research faculty member's appointment, the division chair must determine whether the position held by the faculty member will continue. In cases where the PI is providing salary support, the division chair will consult the PI. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu/rules/university-rules.html>) 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 proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External letters of evaluation are solicited. There is no presumption of renewal of contract.

## **VI Merit Salary Increases and Other Rewards**

### **A Criteria**

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

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

Meritorious performance in teaching, scholarship, and service are assessed in accordance with the same criteria that form the basis for promotion decisions and reappointment decisions for clinical faculty. The college research incentive plan ([https://dentalintranet.osu.edu/system/files/college\\_of\\_dentistry\\_research\\_incentives\\_policy.pdf](https://dentalintranet.osu.edu/system/files/college_of_dentistry_research_incentives_policy.pdf)) will be followed. The time frame for assessing performance will be the past 12 months, with attention to patterns of increasing or declining productivity over the past three years. 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 division chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. Salary increases are formulated in percent rates or dollar amounts, with the goal of distributing available funds in a manner that achieves a distribution that reflects the merits of college faculty. The dean considers the continuing productivity of the faculty member, along with market and internal equity issues as appropriate.

A faculty member who is dissatisfied with his/her salary adjustment should submit written justification to the division chair who will then discuss it with the dean. If the faculty member continues to be dissatisfied with the decision, he/she may be eligible to file a formal salary appeal. (See the Office of Academic Affairs Policies and Procedures Handbook, <http://oaa.osu.edu/handbook.html>.) The college's Faculty Salary Appeals document also provides guidance about this matter.

## **C Documentation**

The annual performance review of every faculty member requires that all documentation described below, including the two bulleted summary documents, be submitted to the division chair no later than June 1.

- College annual review documentation prepared using Research in View, showing performance in teaching, scholarship, and service for past year.
- Updated CV, following the standard College of Dentistry protocol.

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. Material accepted for publication but not yet published must be accompanied by a letter from the editor stating that the work has been unequivocally accepted and is in final form with no further revisions needed.

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.

## **1 Teaching**

The college has many teaching venues. For example, students are taught in pre-clinical laboratories, lectures, seminars, individual instruction, small group tutorials, remediation sessions, clinics, and continuing education. Some students are mentored and directed in research and other scholarship activities.

The following documents are appropriate for evaluation of teaching:

Cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for classes taught.

Peer evaluation of teaching reports as required by the division's peer evaluation of teaching program (details provided in section X of this document). The different teaching roles for faculty (such as course director, lecturer, bench instructor, or mentor) will receive due consideration for evaluation of teaching.

Other relevant documentation of teaching may also be submitted when appropriate. Examples include evidence of teaching innovation, production of substantial new course materials, teaching awards, outcomes from national board examinations, and student evaluations of clinical teaching.

## **2 Scholarship**

The College of Dentistry recognizes that faculty scholarship can have many forms, such as traditional data-driven laboratory and clinical research, research in educational methods and technology, and publication of books/manuals that present new information. The more general criterion of *scholarship* is used instead of *research* for faculty evaluation. The following documents are appropriate for evaluation of scholarship:

Copies of scholarly works, including pedagogical works, published or accepted for publication. A scholarly or pedagogical work accepted for publication but not yet published must be accompanied by a letter from the editor stating that it 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.

Documentation of grants and contracts awarded, including role on the grant (PI, Co-I or other), source, duration and amount of funding.

Other documentation also demonstrating evidence of scholarly activity, such as published abstracts for presentations at professional/scientific society meetings, published reviews including publications where one's work is favorably cited, and grant applications and contract proposals that have been submitted.

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 editor stating that the paper has been unequivocally accepted and is in final form with no further revisions needed.

### **3 Service**

The following documents are appropriate for evaluation of service:

Documentation of traditional division, college, and university service; service outside of the university (e.g., committees for professional organizations, reviewing for journals, and editorial board memberships); and patient care.

Documentation of other activities making a contribution to the college mission and the image of the University, including community service in dental-related and appropriate non-dental organizations.

## **VII Promotion and Tenure Reviews, Promotion Reviews, and Reappointment Reviews**

### **A Criteria**

Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules.html>) provides the following context for promotion and tenure and promotion reviews:

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.

In the College of Dentistry, the effort allocation as determined by the division chair will have primary importance in considering faculty performance for the review processes in the following sections.

#### **1 Promotion to Associate Professor with Tenure**

Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules.html>) provides the following general criteria for promotion to associate professor with tenure:

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.

The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the college's academic mission at a high level for the duration of their time at the university. It is the expectation of the university and the College of Dentistry that all faculty promoted to associate professor with tenure are on a trajectory that will result in them achieving the rank of professor.

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping the college's ability to perform and to progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. For example, if a candidate's primary teaching role is and will continue to be pre-professional teaching, then excellence in pre-professional teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities.

Excellence in teaching, scholarship, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics (<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>).

The accomplishments listed below in the areas of teaching, scholarship, and service are expected of faculty for promotion to associate professor with tenure. In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

Candidates must document that they are likely to provide a long-term contribution to the college and university mission in teaching, scholarship, and service. The standards presented here are intended to provide candidates and their division chairs with general goals and guidance for faculty development during the probationary period. The following standards represent basic performance levels and do not guarantee tenure and/or promotion. To reiterate, quantity and quality of activity in one area cannot substitute for requirements in another area.

### Scientist

For the scientist, the candidate is expected to provide evidence of teaching, scholarship and service as follows:

- 1) Evidence of teaching must include:
  - a. Demonstration of effective skills as a teacher, including evidence of achieving a level of excellence in teaching through student reviews, peer reviews, reports from Peer Review of Teaching Committees, and outcomes.
  - b. Participation in teaching activities to a degree that is consistent with division goals and adequate in quantity and frequency to permit a fair and meaningful evaluation of the candidate's skills and development. The quantity and role of teaching will be considered.
- 2) Evidence of scholarship must include:
  - a. Demonstration of an independent scholarly program that is likely to be sustainable and establishes the candidate's expertise and ability.
  - b. Primary authorship of scholarly publications that are predominantly data-based appearing in well-respected refereed journals.
  - c. Nationally competitive peer-reviewed funding from federal entities (e.g., NIH or NSF), charitable foundations, industry, and/or other highly regarded entities.

Publications should indicate sustained productivity and allow evaluation of scholarship by internal and external reviewers. The number of publications will vary with the work and discipline.

- 3) Evidence of service must include:
  - a. Participation on college and/or university committees during most of the time in rank.
  - b. Membership in professional organizations and contributions to professional activities outside of the university.

### Clinician Scholar

For the clinician scholar, the candidate is expected to provide evidence of teaching, scholarship and service as follows.

- 1) Evidence of teaching must include:
  - a. Demonstration of effective skills as a teacher, including evidence of achieving a level of excellence in teaching through student reviews, peer reviews, reports from Peer Review of Teaching Committees, and outcomes.
  - b. Participation in teaching activities to a degree that is consistent with division goals and adequate in quantity and frequency to permit a fair and meaningful evaluation of the candidate's skills and development. The quantity and role of teaching will be considered.
  - c. Course directorship, which includes oversight on preparation and distribution of course materials, management of lecture/laboratory schedules, and conducting of all examinations.
- 2) Evidence of scholarship must include:
  - a. Demonstration of an independent scholarly program that is likely to be sustainable and establishes the candidate's expertise and ability.
  - b. Primary or major authorship of scholarly publications that include a significant portion that is data-based, appearing in well-respected refereed journals.
  - c. Competitive peer-reviewed funding from federal entities (e.g., NIH or NSF), charitable foundations, industry, university/college granting body, and/or other regarded entities.
- 3) Evidence of service must include:
  - a. Participation on college and/or university committees during most of the time in rank.
  - b. Membership in professional organizations and contributions to professional activities outside of the university.
  - c. Demonstration of outstanding clinical skill in patient care if appropriate (examples include board certification if applicable).

## **2 Promotion to Professor**

Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules.html>) establishes the following general criteria for promotion to the rank of professor:

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.

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field. International reputation of a candidate may be evidenced by invitations for presentations at international scientific conferences, educational institutions, and professional organizations.

The candidate for promotion to professor should be a college role model for less senior faculty, for students, and for the profession. The candidate must demonstrate excellence in teaching, scholarship, and service in accordance with the goals and mission of the college and university. The candidate for professor must have achieved a national reputation in teaching, scholarship and service. International reputation in these areas is highly desirable. The standards presented here are intended to provide the candidates and their division chairs with general goals and guidance for faculty development during the post-tenure period. The following standards represent basic performance levels and do not guarantee promotion.

### Scientist

For the scientist, the candidate is expected to provide evidence of teaching, scholarship and service as follows:

- 1) Evidence of teaching ability must include:
  - a. Demonstration of effective skills as a teacher.
  - b. Demonstration of a sustained level of excellence in teaching.
  - c. Mentoring of PhD students or postdoctoral researchers or faculty.

Evidence is provided through student course evaluations (SEI), peer reviews of lectures, and outcomes.

- 2) Evidence of scholarship must include:
  - a. A sustained and continuous record of scholarship throughout the post-tenure period that is recognized as excellent by peers.
  - b. Primary authorship of scholarly publications that are predominantly data-based appearing in well-respected, refereed journals.
  - c. Major responsibility for the design and execution of the candidate's scholarly program.
  - d. Sustained nationally competitive peer-reviewed funding from federal entities (e.g., NIH or NSF), charitable foundations, industry, and/or other highly regarded entities.
  - e. Invitations to participate in scientific presentations and forums, or to contribute to publications in the discipline.
  - f. Publications with PhD students, postdoctoral researchers, and faculty as a mentoring outcome.

Publications should indicate sustained productivity and allow evaluation of scholarship by internal and external reviewers. The number of post-tenure publications will vary with the work and discipline.

- 3) Evidence of service must include:
  - a. Leadership role on college and/or university committees with significant, recognized contributions.
  - b. Leadership role in professional organizations outside the university with major recognized contributions.
  - c. Participation in study sections or equivalent reviewing bodies for grant applications (e.g., NIH or NSF), if appropriate to the candidate's field of research.
  - d. Peer-reviewing of manuscripts for journals with national/international reputations, and/or membership on editorial boards.

### Clinician Scholar

For the clinician scholar, the candidate is expected to provide evidence of teaching, scholarship and service as follows:

- 1) Evidence of teaching must include:
  - a. Demonstration of effective skills as a teacher, including a sustained level of excellence in teaching through predoctoral student reviews, reviews by residents, peer reviews and outcomes.
  - b. Significant contributions in the following areas:
    - i. Advancing the teaching program through curriculum revision.
    - ii. Management of a significant portion of the teaching program.
    - iii. Mentoring predoctoral or master's students.
    - iv. Developing and presenting continuing college-sponsored education.
- 2) Evidence of scholarship must include:
  - a. A sustained and continuous record of scholarship throughout the post-tenure period that is recognized as excellent by peers.
  - b. Primary or major authorship of scholarly publications that include a significant portion that is data-based appearing in well-respected refereed journals.
  - c. Major responsibility for the design and execution of the candidate's scholarly program.
  - d. Sustained competitive peer-reviewed funding from federal entities (e.g., NIH or NSF), charitable foundations, industry, university/college granting body, and/or other regarded entities.

Publications should indicate sustained productivity and allow evaluation of scholarship by internal and external reviewers. The number of post-tenure publications will vary with the work and discipline.

- 3) Evidence of service must include:
  - a. Participation in graduate education activities, with Category M faculty status from the Graduate School. (See <http://www.gradsch.ohio-state.edu/15.3-category-level.html>)
  - b. Leadership role on college and/or university committees with significant, recognized contributions.
  - c. Leadership role in professional organizations outside the university with major recognized contributions.
  - d. Peer-reviewing of manuscripts for journals with national/international reputations, and/or memberships on editorial boards.
  - e. Demonstration of excellent clinical service in patient care if appropriate.

**3 Clinical Faculty (Clinician Educator)** — (See page 22 for reappointment without promotion for clinical faculty)

Criteria by faculty category are as follows: (The College of Dentistry does not appoint Clinical Faculty to the rank of Instructor.)

A) Promotion to Associate Professor of Clinical Dentistry

For the clinician educator, the candidate is expected to provide evidence of teaching, scholarship and service as follows:

- 1) Evidence of teaching must include as appropriate:
  - a. Demonstration of effective skills as a teacher, including evidence of a level of excellence in teaching through student/resident reviews, peer reviews, teaching committee input, and outcomes.

- b. Significant contributions to advancing the teaching program as a course director or through management of major teaching offerings.
  - c. Demonstration of innovation of teaching methodology.
  - d. Demonstration of excellence in college-sponsored continuing education.
- 2) Evidence of scholarship must be demonstrated with publications and presentations that are one or more of the following: data-based, laboratory or clinical technique, literature review, case report, educational methods, or novel teaching materials.
- 3) Evidence of service must include:
- a. Participation on college and/or university committees during most of the time in rank; or
  - b. Participation in professional or educational organizations and contributions to professional activities outside of the university.

Board certification, if applicable, is an indicator of clinical skill in patient care service, and carries weight for promotion.

When considering the dossier for promotion (or for reappointment without promotion) of a clinical faculty member holding a formal (e.g., director) administrative position, evidence of accomplishments is required in the administrative role, which is considered to be principally service, although teaching and scholarship may be involved. This evidence is given weight proportionate to the time required to fulfill the administrative role.

#### B) Promotion to Professor of Clinical Dentistry

For the clinician educator, the candidate is expected to provide evidence of teaching, scholarship and service as follows:

- 1) Evidence of teaching must include:
- a. Demonstration of effective skills as a teacher, including evidence of a sustained level of excellence from student/resident reviews, peer reviews, teaching committee input, and outcomes.
  - b. Significant contributions to advancing the teaching program through curriculum revision.
  - c. Management of a major portion of the teaching program.
  - d. Demonstration of sustained excellence in college-sponsored continuing education.
  - e. Demonstration of innovation of teaching methodology.
- 2) Evidence of scholarship must be demonstrated with sustained peer-reviewed publications and presentations that are one or more of the following: data-based, laboratory or clinical technique, literature review, case report, educational methods, or novel teaching materials
- 3) Evidence of service must include:
- a. Leadership on college and/or university committees during time in rank.
  - b. Leadership in professional organizations outside of the university.

Board certification, if applicable, is an indicator of clinical skill in patient care service, and carries weight for promotion.

When considering the dossier for promotion (or for reappointment without promotion) of a clinical faculty member holding a formal (e.g., director) administrative position, evidence of accomplishments is required in the administrative role, which is considered to be principally service, although teaching and

scholarship may be involved. This evidence is given weight proportionate to the time required to fulfill the administrative role.

#### **4 Research Faculty**

Research faculty members serve in appointments totaling 50% or more annual employment to the college. The primary responsibility of these faculty members will be to conduct research. A research faculty member may, but is not required to, participate in limited educational activities in the area of his/her expertise. Teaching opportunities for research faculty, however, must be approved by a majority vote of the tenure-track faculty in a meeting of the entire tenure-track faculty.

- A) Promotion to Research Associate Professor requirements:
  - 1) Evidence of sustained scholarship with recognized expertise.
  - 2) Primary or senior authorship of scholarly publications in quality refereed journals reporting data-based research.
  - 3) PI of funded research that has provided salary support for Research Assistant Professor position.
  - 4) Focus of research established with independence.
  - 5) Service on dissertation committee of at least one PhD student. P graduate faculty status requires approval of the Graduate Studies Committee and the Graduate School.
  - 6) Some service at the college, university, national, or international level.
  
- B) Promotion to Research Professor requirements:
  - 1) Sustained scholarship judged excellent by peers.
  - 2) Substantial primary or senior authorship of scholarly publications in quality refereed journals reporting data-based research.
  - 3) Major responsibility for design and execution of scholarship.
  - 4) Sustained funding from competitive peer-reviewed sources as PI, such as federal entities (e.g., NIH or NSF), charitable foundations, industry, and/or other highly regarded entities.
  - 5) Invitations to scientific presentations, forums or publications.
  - 6) Mentoring PhD students, postdoctoral researchers and faculty.
  - 7) Leadership in college, university, national or international research committees or organizations.

#### **5 Associated Clinical Faculty**

Associated clinical faculty members are faculty members of the college on a special appointment. To be eligible for promotion, faculty must be employed by the college for a minimum of 1/2 day per week. The promotion of associated clinical faculty has the same criteria as the respective promotion for clinical faculty.

#### **B Procedures**

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

**1 Timeline for Promotion and Tenure Reviews and Other Reviews** (The deadline is the following Monday when a specific date falls on the weekend.)

- August 1: Dossiers for fourth-year reviews, promotion reviews, tenure reviews, and reappointment reviews submitted to the dean's office. Division chairs submit lists of external evaluators, if required.
- August/  
September: Appointments, Promotion and Tenure Committee reviews dossiers and chair meets with candidates, if necessary.
- October: Eligible faculty have access to dossiers and submit written comments.
- Second Thursday:  
in November: Meeting of eligible faculty to vote on fourth-year reviews, promotions, tenure, and reappointments.
- December 1: Appointments, Promotion and Tenure Committee chair provides dean with letter reflecting faculty vote on each candidate.

## 2 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 (<http://oaa.osu.edu/assets/files/documents/Form105.pdf>) 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 on the OAA checklist.

If external evaluations are required, the candidate and division chair develop a list that is submitted to the Appointments, Promotion and Tenure Committee. The candidate may request the removal of names from the division chair's list, providing the reasons for the request. The division chair decides whether removal is justified, consulting with the chair of the Appointments, Promotion and Tenure Committee. (Also see External Evaluations below.) The final list must not contain more names from the candidate than the division chair.

Dossier checklist for candidates for August 1 submission to Appointments, Promotion and Tenure Committee:

- a. Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form (most recently revised document – see <http://oaa.osu.edu/assets/files/documents/Form109.pdf>).
- b. Personal Statement letter to the college Appointments, Promotion and Tenure Committee outlining major accomplishments in the areas of teaching, scholarship, and service.
- c. Curriculum Vitae — The CV, which is submitted for the annual review, should follow the standard College of Dentistry protocol.
- d. Core dossier prepared using Research in View. The dossier should also contain administration responsibility information when appropriate and complete teaching information, which includes a detailed summary of the student evaluations and a detailed summary of the peer evaluations of teaching from the division peer review of teaching chair. Approved college forms for evaluation in the areas of course administration, lecturing, clinical teaching, laboratory, and seminar can be found at <https://dentalintranet.osu.edu/content/faculty-teaching-support>.
- e. Appendices: letters of acceptance for publications in press, representative reprints of publications.

### **3 Division Chair Responsibilities**

- a. Initiates the peer review process to evaluate the teaching effectiveness of the faculty candidate, which is included in the dossier for promotion and tenure, promotion, or reappointment.
- b. Provides a letter evaluating the faculty candidate for both mandatory and non-mandatory reviews. This letter should summarize achievements in teaching, scholarship, and service that reflect the criteria for which the candidate is seeking promotion or reappointment, and should explicitly state the degree of success or failure on the part of the candidate in meeting yearly goals in the areas of teaching, scholarship, and service that were established by the division chair and candidate. This letter is expected to provide an assessment of the faculty candidate and explain whether the candidate has met the effort allocation established by the division chair, along with reporting the achievement details (<http://oaa.osu.edu/assets/files/documents/AluttoP&T.pdf>).
- c. For promotions where substantial scholarship is involved, provides a list of potential external evaluators to the Appointments, Promotion and Tenure Committee.
- d. For a clinical faculty member applying for reappointment, the division chair appoints a review committee and identifies a committee chair from the eligible faculty in the division, who will coordinate the division evaluation of the reappointment dossier. The division chair, in consultation with the dean, will appoint eligible faculty from another division if needed to have a reviewing committee of at least three members. The review committee chair in the division for the faculty member applying for reappointment will convene a meeting of the review committee to discuss the dossier and vote on reappointment. The review committee chair will then prepare and submit a letter to the division chair that reports the discussion and vote by the review committee members, and which is signed by all committee members. This letter becomes part of the official dossier. For the first reappointment without promotion, the dossier is reviewed by all eligible faculty in the college at the same or higher rank. For subsequent reappointments without promotion, the dossier is only reviewed at the division level and presented directly to the dean for reappointment consideration.
- e. The initial decision about reappointment for a research faculty member is first made by the division chair, in consultation with the PI if he/she is providing salary support for the research faculty member (see section V.D on page 12). The division chair letter with the recommendation is then forwarded to the dean, who makes the final decision about reappointment.

### **4 Dean Responsibilities**

- a. Prepares a list of faculty requiring review by the Appointments, Promotion and Tenure Committee, and notifies respective faculty and their division chairs.
- b. Where relevant, verifies 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 not considered for promotion by the college.
- c. Prepares copies of each candidate's dossier for review by the eligible faculty at least two weeks before the faculty meeting where specific cases are discussed and voted on.

- d. Prepares an independent letter assessing the performance of the faculty candidate that is submitted to the Provost (<http://oaa.osu.edu/assets/files/documents/AluttoP&T.pdf>). This letter contains a judgment of the overall contribution of the faculty member to the college, rather than a reiteration of performance details in the areas of teaching, scholarship, and service.

## **5 Appointments, Promotion and Tenure Committee Responsibilities**

- a. Committee reviews candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; works with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
- b. Chair meets with each candidate for clarification as necessary and provides the candidate an opportunity to comment on his/her dossier. This meeting is optional at the discretion of the candidate, and is not an occasion to debate the candidate's record.
- c. Committee meets as a group to discuss each faculty candidate, and draft an analysis of the candidate's performance in teaching, scholarship, and service, which will be presented at a meeting of the eligible faculty.
- d. At a meeting of the eligible faculty, the chair reviews and analyzes the candidate's dossiers, indicating the extent to which the evidence meets established criteria/standards for promotion or tenure. This analysis will provide the starting point for a full and open discussion by the assembled eligible faculty of the candidate's documented accomplishments, followed by a vote of that body.
- e. Chair prepares and submits a letter to the dean not later than 2 weeks after the meeting of the eligible faculty (by approximately December 1). The letter will (1) enumerate the strengths and weaknesses of the candidate in the areas of teaching, scholarship, and service as indicated by the eligible faculty, (2) evaluate the dossier/achievements relative to the criteria of the rank to which the candidate aspires, (3) indicate the decision and vote of the eligible faculty, and (4) attest to the adherence of the process to the policies of the college and university. The letter is signed by the chair and all committee members, and will become part of the dossier.

### Additional responsibilities of the Appointments, Promotion and Tenure Committee:

- a. Review the college Appointments, Promotion and Tenure document annually and recommend proposed revisions to the faculty.
- b. Recommend to the dean appropriate rank for new appointments.
- c. Provide a written evaluation and recommendation to the dean in the case of joint appointees whose tenure-initiating unit is another college. The full eligible faculty does not vote on these cases since the division's recommendation must be provided to the other tenure-initiating unit substantially earlier than the Appointments, Promotion and Tenure Committee begins meeting on College of Dentistry cases.

A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.

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

## **6 Eligible Faculty Responsibilities**

- a. Determine the appropriateness of non-mandatory reviews.
- b. Review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- c. Attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

## **7 Internal Evaluations**

Each candidate for mandatory fourth-year, tenure or promotion review must have a minimum of four letters of evaluation in his/her dossier from college or university faculty at the same or higher rank that attest to his/her contributions to the teaching and/or service missions of the college or university, as appropriate for the appointment. Two names will be suggested by the candidate, and two names will be suggested by the division chair. The division chair submits these names to the chair of the Appointments, Promotion, and Tenure Committee who solicits such letters.

Of particular benefit to the review process are letters from the directors of courses in which the candidate provided instruction and chairs of committees for which the candidate was a member. The letters from course directors should comment on any aspect of the candidate's contributions to the course (e.g., lecture organization, format, and delivery; completeness of handouts; quality of examination questions; ability to meet deadlines). Chairs of college or university committees should comment on the candidate's overall contributions to the committee (e.g., attendance at meetings, level of preparation for meetings, and participation in meeting discussions).

For a candidate having a joint appointment with another department outside of the College of Dentistry, a letter from the other department chair is requested by the chair of the Appointments, Promotion and Tenure Committee, that will contain details about the performance of the candidate in that department, with consideration of the responsibilities and effort allocation associated with the joint appointment. If the joint appointment involves more than one department outside of the College of Dentistry, a letter is requested from each department chair.

## **8 External Evaluations**

External evaluations of research and other scholarly activity 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 contract renewal and promotion reviews, and all adjunct faculty promotion reviews. External evaluations of research and other scholarly activity are not obtained for faculty members on the clinical unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a faculty member on the clinical will be made by the division chair after consulting with the candidate and the chair of the Appointments, Promotion and Tenure Committee.

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

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

Since the college cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than early in the autumn semester of 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 external evaluators is assembled by the chair of the Appointments, Promotion and Tenure Committee and the division chair. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor the college requires that the dossier contain letters from evaluators suggested by the candidate.

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

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

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

### **C Documentation**

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the Appointments, Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

Promotion and tenure decisions for individuals are made on the basis of documentation of evidence grouped into the categories of teaching, scholarship and service. Documentation in each category is organized in a hierarchy of relative importance in the evaluation process. The hierarchy within each area

of consideration is based upon established and proven concepts for peer and administrative evaluation, yet its breadth provides a range of opportunities to demonstrate achievement and value to the university and college. The organization of evidence presented here is intended to help faculty to focus their activities in those areas that will allow them to document their strengths most convincingly.

Among the three areas, teaching and scholarship are the primary pursuits of faculty and are particularly important at the sixth-year evaluation, although evidence of service is important.

Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

## **1 Teaching**

For the time period since the last promotion or the last five years, whichever is less, the evidence provided includes:

- Cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries are prepared by the Office of the University Registrar for every class exceeding a minimum enrollment), Summaries of division-approved student evaluation forms can also be included.
- Peer evaluation of teaching reports as required by the division's peer evaluation of teaching program (details provided in the section X of this document).
- Copies of pedagogical papers, books or other materials published, or accepted for publication. A document accepted for publication but not yet published must be accompanied by a letter from the editor stating that the work has been unequivocally accepted and is in final form with no further revisions needed. Such materials are also evidence of scholarship.
- Other relevant documentation of teaching as appropriate, such as teaching awards.

Teaching is one primary role of the faculty. Teaching effectiveness as indicated by peer and student evaluation, outcomes, and indication of competency by students, is the strongest indicator of teaching quality. The quantity of teaching in and of itself is not an indicator of quality of effort. A candidate should demonstrate a breadth of activity that is consistent with peers, reflective of division and college needs, and sufficient in amount to allow evaluation of quality and the candidate's responsiveness to evaluation.

The three areas of documentation for teaching include in order of decreasing importance: measures of teaching effectiveness, supplemental teaching activities, and other contributions.

### Teaching Effectiveness

An effective teacher must be able to impart knowledge and stimulate the development of problem solving skills. Peer evaluation of teaching is considered the primary form of evaluation. Guidelines and procedures for peer evaluation at the college have been established by the Office of Academic Affairs. During the probationary period, peer evaluation must take place on an annual basis. Initiating the process of peer evaluation is the responsibility of the division chair. Peer evaluations, especially when supported by a faculty peer review committee, and student evaluations of teaching carry most weight when they provide evidence of the candidate's growth and development, or consistent and sustained teaching quality, over the entire evaluation period.

Where possible, student evaluation of teaching should utilize instruments approved by the college faculty and the Office of Academic Affairs. All instruments, where possible, should include division-approved measures. It is desirable that comparisons can be made within the college and university. The results should be presented in a summary format that allows for reasonable interpretation similar to the

university's standard SEI report. Sequential evaluation of teaching, using an accepted instrument in a course or series of courses, is most valuable for documentation of teaching effectiveness.

Teaching evaluation by peers and students should ideally address all areas of a candidate's activity. This should include an evaluation of the candidate's mastery of and currency in discipline content. Student evaluations of teaching should take place annually. Lecture, seminar, laboratory and clinical teaching should be weighted in proportion to the candidate's teaching responsibility. Optimally the faculty member's performance in each course he/she participates should be evaluated every time that course is taught. This is a requirement for the course director. (The University Registrar normally requires a minimum course enrollment for online SEI's.) However, the format can vary when a faculty member participates in team teaching. In that case the weight of the evaluation should be proportional to a faculty member's contribution to the course. For those faculty members who do not serve as director for any courses, i.e., they participate only in team teaching efforts, it is necessary that their most significant efforts be documented on a regular basis. Each teaching evaluation should be shared among the faculty member, chair, and dean's office.

Finally, the evaluation should follow data-gathering procedures that ensure objective and valid information. Strong efforts by the course director, emphasizing the importance of this process, should be made to assure that student evaluations (SEI forms), which are now performed online, are completed by a majority of students.

Teaching awards acknowledge outstanding teaching accomplishments through student and peer recognition. Division, college, and university level awards document high-quality teaching, with university level awards holding the most influence, followed by college and then division awards.

Outcomes of the educational process are extremely important, but often are difficult to document. Student performance in subsequent courses, national board examinations, licensing board examinations, standardized tests, or clinical qualifying examinations, where they are directly related to the candidate's teaching, can provide a strong indication of effectiveness.

### Supplemental Teaching Activities

The contribution to the educational process can include activities outside of the classroom such as graduate mentoring, teaching innovation, and publications about teaching. Often these activities are individualized and difficult to quantify in terms of effort, contribution and level of achievement. They are important and integral to academic vitality, and should be documented by the candidate.

Graduate teaching activities noted by decreasing relative weight include: serving as principal advisor for graduate student research, serving on thesis committees, and informal involvement with individual graduate student research. Faculty who are eligible by graduate faculty appointment status but with little or no activity are at a disadvantage at promotion.

Teaching innovation in such areas as curriculum, teaching methods and new organization of course materials is an important accomplishment and may have significant value. These innovations may encompass a number of media that are appropriate to the content and student audience.

Publications regarding teaching technique, those based on education or philosophy without empirical data, and instructional aids or materials are also contributions to the teaching effort. These also may include a number of media that are appropriate to the content and student audience.

### Other Contributions

Other teaching contributions may support candidacy for promotion. They are viewed as indicators of the breadth of a candidate's teaching and provide insight into the involvement of the faculty member in the full range of teaching. Continuing education can embody elements of academic teaching, and is most valued when documented by peer and participant evaluation. Service as a pre-doctoral and/or baccalaureate student advisor and/or as a peer-teaching mentor is also important. A candidate's self-evaluation and statement of teaching philosophy can provide additional and helpful information about values, approach and philosophy as a teacher, and becomes more important if validated by other evidence, such as peer evaluations and student evaluations.

## **2 Scholarship**

For the time period since the last promotion, evidence should include:

- A complete and accurate list of all publications. Papers accepted for publication but not yet published must be accompanied by a letter from the editor stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- A complete and accurate list of all grants and contracts received, including source, funding, duration, and role of faculty member (e.g., PI, Co-I or other).
- Other relevant documentation of scholarship as appropriate. Examples are published reviews, including publications where one's work is favorably cited, grant applications and contract proposals that have been submitted, impact factors of journals in which publications appear, and the h-index which is one measure of the impact of the published work by the candidate.

Scholarly publications are essential. The number of scholarly publications will vary among faculty seeking promotion, and no absolute number of publications has been established for promotion in rank or tenure. Numbers should be sufficient to demonstrate a commitment to scholarship, productivity, quality, focus of the candidate's work, the ability to sustain effort, and recognition by peers.

Three kinds of activity are important indicators of scholarship:

### Written Communication

- Published papers  

Articles in refereed journals provide the strongest evidence of scholarship. Publications in which the candidate is primary, sole, or senior author are the most highly valued. In those disciplines where data collection is customary, a portion of the publication should be data-based.
- Patents awarded by the U.S. Patent office.  

These are viewed as evidence of original work and will provide evidence of scholarship.
- Book chapters or solicited papers.  

These can be important, but may be considered weaker, indicators of high-quality scholarship. This category also includes textbook authorship, textbook editorship, or textbook chapter authorship. The major factors determining the weight of publications in this category are novelty, substance, and impact on the discipline.
- Case reports and clinical technique papers

These should be a limited portion of the scholarly activities being evaluated. Descriptive case reports without interpretation are considered one of the least significant written indicators of scholarship.

### Research Funding

- Peer-reviewed, competitive research grants from federal or other significant organizations for the field.
- Research funding from private industry.
- Research grants from university organizations.
- Research grants from college organizations.
- Research grants from foundations and philanthropic organizations.

The amount of funding is not an absolute measure of scholarship, since disciplines and funding environments vary. The greatest weight is placed on rigorously peer-reviewed funding from federal agencies and other highly respected sources, rather than proprietary or noncompetitive support. The primary investigator's role is more highly valued, and greater contribution to a collaborative project lends increased importance to the candidate's promotion application.

### Research Abstracts and Presentations

- Published research abstracts in major journals for the field of the candidate.
- Presentations at meetings of scientific or educational organizations in the field of the candidate.
- Invited presentations (other than continuing education lectures)

Research abstracts add evidence of sustained and directed scholarship, as well as work in progress. However, they carry far more weight when an article based on the work is published. Invited presentations at conferences (which may result in published abstracts) or to other professional groups provide evidence of the candidate's reputation outside of the university.

## **3 Service**

For the time period since the last promotion, evidence should include any available documentation of the following:

- Elected offices held and/or service on committees in professional organizations (local, regional, national, international).
- Service on college and university committees, including offices held or special assignments.
- Administrative positions in division or college.
- Editor or invited reviewer for journals, book, or funding agencies.
- Membership on division committees.
- Memberships on special/ad hoc committees other than standing committees.

- Memberships on hospital committees.
- Consultation services.
- Community health education activities.
- Membership in educational or research societies or organizations.
- Engagement in clinical dental practice.

Leadership positions having impact and effectiveness in organizations are important, and these are evidenced by factors such as (a) advancement in standing, (b) unsolicited requests for reappointment, (c) requests for participation in programs, and (d) requests to act as a consultant.

## **VIII Appeals**

Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules.html>) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05 (<http://trustees.osu.edu/rules/university-rules.html>).

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**

Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules.html>) sets forth the conditions of and procedures for a seventh-year review for a faculty member denied tenure as a result of a sixth-year (mandatory tenure) review.

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

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

Use of an evaluation of instruction form is required in every course offered in this college. University SEI forms may be used, as well as student evaluation forms developed by the division. Other approved forms are found under Instructional Resources for the college Office of Academic Affairs (<https://dentalintranet.osu.edu/content/faculty-teaching-support>).

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

Peer evaluation of teaching is administered through the college Office of Academic Affairs, which assures that the process is standardized and consistent across the college. The Office of Academic Affairs is responsible for providing guidelines and instructions for the peer evaluation of teaching process.

The division chair oversees the division's peer evaluation of teaching process. Appropriate forms for peer reviews are found under Instructional Resources for the college Office of Academic Affairs (<https://dentalintranet.osu.edu/content/faculty-teaching-support>).

Annually the division chair appoints Peer Review of Teaching Committees of a size judged sufficient to meet the volume of peer review activity expected that year, without overburdening any of the faculty. A committee may include faculty from outside of the division. Reasonable efforts are made to distribute service among the tenured and reappointed clinical faculty from year to year in order to support and

encourage attention to the quality of teaching in the division. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

The responsibilities of the Peer Review of Teaching Committees for probationary faculty members are to review the teaching of probationary tenure-track and clinical faculty twice during the probationary period, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned in the course of each probationary year.

The division chair has the responsibility of ensuring that sufficient peer review of teaching occurs for nonprobationary faculty members so that adequate documentation will exist when promotion of tenure-track faculty or reappointment/promotion of clinical faculty is being considered. Rather than having formal peer review committees as done for probationary faculty, division faculty members (and faculty from other divisions as needed) are asked to provide reports of teaching effectiveness, using the approved college form for peer reviewing. All faculty members have the responsibility of providing SEI or peer review information to the division chair for the annual review.

- The teaching of tenured associate professors and non-probationary associate clinical professors should be reviewed at least twice during every five-year period and at least twice during the appointment period for clinical faculty.
- The teaching of tenured professors and non-probationary clinical professors should be reviewed at least once every five years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.
- At the division chair's request, peer review of teaching can occur for any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- A peer review of teaching for a faculty member not currently scheduled for review can also occur, upon that individual's request, to the extent that time and resources permit. Reviews conducted at the request of the faculty member are considered formative only. The division chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the University Center for the Advancement of Teaching ([www.ucat.osu.edu](http://www.ucat.osu.edu)).

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

Regularly scheduled peer teaching evaluation (the first two situations listed above) is comprehensive and includes, as appropriate, classroom visitation, clinical/laboratory visitation, review of course syllabi, instructional materials, assignments, and examinations. At the beginning of the semester, the division Peer Review of Teaching committee will request from the faculty member a list of dates on which visitation would be inappropriate, such as when examinations are being given or guest speakers are scheduled. Each peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, each peer reviewer should attend (or review if an online course) two different class sessions over the course of the semester.

Peer review focuses particularly on aspects of teaching that students are less qualified than faculty to evaluate, such as appropriateness of curricular choices given the goals of the 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 SEI summaries from recent years, and where student opinion is mixed to negative, the committee attempts to ascertain the reasons. In so doing, members are to bear in mind that they have observed only one or a few classes out of the semester, and moreover have a very different level of knowledge compared to students. Consequently, their assessment may differ considerably from that of the majority of students.

At the conclusion of the review, the committee submits a written report to the division 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 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.

The effectiveness of the peer teaching evaluation procedures outlined above would be strengthened if the division developed worksheets for use in evaluating the various aspects of instruction. The university Center for the Advancement of Teaching ([www.ucat.osu.edu](http://www.ucat.osu.edu)) offers assistance in such endeavors.