

Appointments, Promotion, and Tenure Criteria and Procedures for

The Ohio State University At Lima

Approved by the Faculty Assembly: 04/2024

Revision Approved by the Office of Academic Affairs: 07/23/24

Table of Contents

1	Preamble	2
2	The Ohio State Lima Mission.....	2
3	Appointments.....	4
	3.1 Criteria.....	4
	3.1.1 Tenure-Track Faculty	4
	3.1.2 Teaching/Professional Practice Faculty	4
	3.1.3 Associated Faculty.....	4
	3.2 Procedures	6
	3.2.1 Tenure-Track Faculty	6
	3.2.2 Teaching/Professional Practice Faculty	7
	3.2.3 Transfer from the Tenure-Track.....	7
	3.2.4 Associated Faculty.....	8
4	Annual Performance and Merit Reviews.....	8
	4.1 Procedures	8
	4.1.1 Probationary Tenure-Track Faculty	9
	4.1.2 Fourth-Year Review	9
	4.1.3 Exclusion of Time from Probationary Period.....	10
	4.1.4 Tenured Faculty.....	10
	4.1.5 Teaching/Professional Practice Faculty	11
	4.1.6 Associated Faculty.....	11
	4.1.7 Salary Recommendations	11
5	Reviews for Promotion & Tenure and for Promotion	12
	5.1 Definitions	13
	5.1.1 Promotion to Associate Professor with Tenure	13
	5.1.2 Promotion to Professor	14
	5.1.3 Teaching/Professional Practice Faculty	15
	5.1.4 Promotion to Senior Lecturer	15
	5.2 Procedures	16
	5.2.1 Responsibilities of the P&T Committee, and Description of Review Process	16
	5.2.2 Responsibilities of the Campus Dean	17
	5.2.3 Responsibilities of the Candidate	18
6	Appeals of Reviews for Promotion and Tenure.....	18
7	Procedures for Student and Peer Evaluation of Teaching	18
8	Appendix: American Association of University Professors Statement on Professional Ethics ..	21
	8.1 Introduction	21
	8.2 The Statement.....	21

1 Preamble

This document is a supplement to Chapters 6 and 7 of the [University Faculty Rules](#); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs (OAA) [Policies and Procedures Handbook](#); the governance documents of tenure-initiating units (TIUs); and other policies and procedures of the university to which the Lima campus and its faculty are subject.

Should those rules and policies change, the Lima campus 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 five years on the appointment or reappointment of the campus Dean and Director (henceforth “the Dean” or “the campus Dean”).

The Dean of the Lima campus and the Office of Academic Affairs must approve this document before it may be implemented. It sets forth the campus’s mission and, in the context of that mission and the mission of the university, the campus’s criteria and procedures for faculty appointments and faculty promotion, tenure, renewal, and rewards, including salary increases. In approving this document, the campus Dean and the Office of Academic Affairs accept the mission and criteria of the campus and delegate to it the responsibility to apply high standards in evaluating current faculty and candidates for faculty positions in relation to the campus’s mission and criteria.

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

2 The Ohio State Lima Mission

The Ohio State University at Lima builds the future of western Ohio by developing leaders and providing access to the resources and strength of the state’s top university. Students are able to interact closely with faculty, both in and outside of the classroom, in order to pursue intellectual growth and prepare themselves for the future. We mobilize the resources of The Ohio State University for the benefit of the communities we serve.

The Ohio State University at Lima is guided by several operating principles and core values, including the following:

Ohio State Quality: All courses and curricula offered on the Lima campus maintain the same content and academic quality as those offered on the Columbus campus. All tenure track faculty hold the highest degree awarded by their profession, and all non-tenure track faculty hold at least a master’s degree or its equivalent. Tenure track faculty are members of their OSU departments/schools and meet departmental/school criteria for promotion and tenure. Such faculty remain current in their professions by engaging in active

scholarship and creative activity. Associated faculty meet the criteria for contract renewal through excellence in teaching.

Student-Friendly: Excellence in teaching is the standard on the Lima campus, and all faculty strive to achieve continuous improvement in working with students. Class size is kept relatively small, averaging 20-25 students per class. Faculty members help students learn both inside and outside of the classroom. Highly professional staff members support student learning in many ways such as maintaining facilities, advising students, tutoring, and providing administrative services.

Broad and Open Access: The Lima campus maintains Ohio State's Land Grant mission of making higher education accessible to all students. As such, we follow an open admission policy. The campus strongly values diversity and strives to engage the larger community in all its variety. Scholarships and other financial aid help many students surmount financial obstacles, and the campus's academic support services help students achieve academic success.

Community Involvement: The campus strives to create meaningful partnerships with the community, focusing especially on workforce and economic development, the arts and culture, and support for area schools. Many faculty and staff contribute time, money, and expertise for the good of the community. At the same time, community leaders help the campus assess community needs, and the community has contributed generously to campus campaigns. A community Board helps advise the campus Dean.

Values: Shared values are the commitments made by those on the Lima campus regarding how work will be conducted. Our values include excellence, collaboration, openness and trust, efficiency in our work, diversity in people and ideas, empathy and compassion, change and innovation, integrity & personal accountability. The Lima campus operates on the premise that all faculty and staff have unique talents that contribute to the pursuit of excellence. In addition to professional accomplishments, collegiality, civility and mutual respect are strongly held values (The attached AAUP statement [Appendix] on professional ethics serves as a good summary of the professional ethical responsibilities of faculty members.). The Lima campus supports diverse beliefs and the free exchange of ideas and opinion and expects that faculty, staff, and students promote these values and apply them in a professional manner in all academic endeavors and interactions within and representing The Ohio State University at Lima.

3 Appointments

3.1 Criteria

3.1.1 Tenure-Track Faculty

Each TIU at Ohio State defines a set of criteria, including scholarship and creative activity, for hiring tenure-track faculty at Ohio State's regional campuses (TIU governance documents are

available [here](#)). In addition, University Faculty Rule [3335-6-04](#) D.1 notes that “the relative weight of teaching and service is ordinarily greater on regional campuses.”

3.1.2 Teaching/Professional Practice Faculty

Regional campus criteria for the appointment of teaching/professional practice faculty are the same as those for Columbus campus teaching/professional practice faculty.

Except for those appointed at the rank of instructor, for whom a contract is limited to three years, the initial contract for all other teaching/professional practice faculty members must be for a period of five years. The initial contract at all ranks is probationary, with reappointment considered annually. Second and subsequent contracts for assistant and associate teaching professors and professional practice assistant and associate professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for teaching/professional practice professors must be for a period of at least three years and no more than eight years. Tenure is not granted to teaching/professional practice faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. Performance expectations are set jointly by the TIU and the Lima campus. The process for reappointment depends on the TIU’s policies, which must correspond to the [Faculty Annual Review and Reappointment Policy, III, A-G](#), and the campus provides input into the reappointment process through annual reviews of teaching/professional practice faculty. Reappointments require the approval of the dean/director.

The Lima campus supports teaching/professional practice faculty. These appointments exist for faculty who focus principally on the educational needs of students at the Lima campus. Such faculty are expected to contribute to the campus’s mission as reflected in undergraduate and graduate program development and teaching. Teaching/professional practice faculty appointments are made in accordance with Faculty Rule [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the campus.

Assistant Teaching Professor and Professional Practice Assistant Professor. In addition to the criteria the TIU requires for appointment at the rank of assistant teaching professor and professional practice assistant professor, the campus requires evidence of high-quality teaching and a commitment to service.

Associate Teaching Professor, Professional Practice Associate Professor, Teaching Professor, and Professional Practice Professor. In addition to the criteria the TIU requires for appointment at the rank of associate teaching professor and professional practice associate professor, or teaching professor and professional practice professor, the campus requires a sustained record of excellent teaching and effective service.

3.1.3 Associated Faculty

Lecturers and Senior Lecturers. Appointment as a lecturer requires that the individual have, at a minimum, a master’s degree or its equivalent in a field appropriate for the subject matter to be taught. Evidence of or potential for high-quality instructional ability is required.

Lecturers are not eligible for tenure. Appointment as a senior lecturer requires that the individual

have, at a minimum, a doctorate or terminal degree in a field appropriate for the subject matter to be taught, along with evidence of ability to provide high-quality instruction. Senior Lecturers appointed from within the university should have at least five years of service on the Lima Campus in a full-time position that includes a significant teaching component; or a master's degree and at least ten years of teaching experience at Ohio State Lima with documented high-quality performance. Senior lecturers are not eligible for tenure.

The administration may consider a candidate's qualifications, experience, awards, and past achievements when determining whether a new hire should start at the senior lecturer level. An offer of senior lecturer status should be consistent with our current evaluative standards.

Lecturers' and senior lecturers' responsibilities pertain primarily to formal course instruction and professional development related to course instruction. The Associate Dean will follow criteria established by TIUs in determining whether a candidate is qualified for a lecturer appointment. Associated faculty appointments are generally made for a period of one year, unless a shorter period is appropriate to the circumstances. Senior lecturers' contracts are an exception, as they are usually made for a period of three years. An exception might be an initial, one-year probationary contract awarded to an external applicant hired in at the Senior Lecturer level. All associated faculty appointments expire at the end of the appointment term; renewal of such appointments is based on a performance review as well as the continued need for the position.

Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. Visiting faculty may either be compensated or not compensated. Visiting faculty members on leave from a regular academic appointment at another institution are appointed at the rank held at that institution. The rank at which other visiting faculty are appointed is determined by applying the criteria for appointment of tenure-track faculty. Visiting faculty are not eligible for tenure or promotion. They may not be reappointed for more than three years at 100% FTE.

Reemployment of retired faculty. For eligibility requirements and guidelines on the rehiring of faculty who have retired from The Ohio State University, see the Office of Human Resources (OHR) Policy on Reemployment of Faculty and Staff ([Policy 4.25](#)). It is acceptable for units to negotiate some post-retirement work with non-retired faculty in order to facilitate retirement. Yet long-term contracts are inappropriate, and even short-term agreements should be made subject to availability of funds, programmatic needs, and performance. Reemployment of retired faculty is not an entitlement and cannot be guaranteed. Note that faculty may be rehired into the same position at greater than 75% FTE only if the salary is not greater than 75% of the base salary at the time of retirement. Note also that the personnel action of entering a retired faculty member into the OHR system as an emeritus appointment should not be confused with the reemployment of a retired faculty member (see the OAA [Faculty Appointments](#) policies).

3.2 Procedures

3.2.1 Tenure-Track Faculty

Candidates are interviewed by, at a minimum, the regional campus Dean, TIU head, and TIU representatives. A decision to make an offer requires agreement by the TIU head and regional campus Dean. Until agreement is reached, negotiations with the candidate may not begin; the letter of offer must be signed by the TIU head and the regional campus Dean.

Decisions to create new positions and fill vacant positions are the responsibility of the Dean. The Teaching and Academic Practices Committee, a standing committee of the Lima campus Faculty Assembly, is charged with advising the Dean on such decisions. The Lima campus has primary responsibilities for determining the position description for a tenure-track faculty search, but the Dean or designee consults with the TIU head to reach agreement on the description before the search begins.

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 requested from the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Prior to any search, members of all search committees must undergo inclusive hiring practices training available through the college with resources from the [Office of Diversity and Inclusion](#). Implicit bias training, such as that available through the [Kirwan Institute for the Study of Race and Ethnicity](#), is also required of all search committee members prior to any search.

Should the Dean feel that the applicant pool or the final group of candidates is insufficiently diverse, he or she may propose that the search either be extended or cancelled until a later date. Should the search be extended, additional efforts will be made to increase the diversity of the candidate pool by advertising the position in additional venues or using other acceptable means necessary to achieve a diverse pool.

The Dean, in consultation with the head of the TIU, will appoint a search committee to identify candidates for the position. The committee will include at least one Columbus campus member of the TIU unless the TIU head declines to recommend such an appointment.

The Search Committee:

In consultation with the dean, 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 Job Postings through the [Office of Human Resources](#) and external advertising, subject to the Dean'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, credentials, and salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.

Develops and implements a plan for external advertising and direct solicitation of nominations and applications.

Screens applications 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 or virtual interviews are arranged by the search committee chair, assisted by the Dean's office. If the Dean does not agree, the Dean in consultation with the search

committee determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

Applicants invited for a campus or virtual interview will visit both the Lima campus and the Columbus campus. The TIU is responsible for determining what the candidate will do during the visit to the Columbus campus. At the Lima campus, the candidate will deliver a scholarship or creative activity presentation, submit to questions from the search committee, and receive personal interviews with the Dean, the Associate Dean, and appropriate faculty members. The presentation is meant not only to showcase the candidate's scholarly or creative work but also to give the audience a sense of the candidate's teaching style; as such, these presentations are open to all members of the campus community, including students. The interview process at the Lima campus may include a group meeting with students and may also include presentations delivered by way of video-conference technology to other campuses. All candidates interviewing for a particular position must follow the same interview format and relevant accommodations for disability/impairment should be provided.

To the head of the TIU and the Dean, the search committee will deliver a recommendation indicating which candidates are acceptable, in order from most acceptable to least acceptable. The TIU head will follow the TIUs procedures for selecting a candidate for an offer. According to University Faculty Rules, hiring can go forward only when the Dean and the TIU head reach agreement. Upon such agreement, the Dean can begin negotiations with a candidate.

The Dean consults with the TIU head in determining negotiation parameters. Letters of offer must present the signature of the Dean and the TIU head, and in some cases, the dean of the relevant college. The offer letter will generally specify that the candidate has two weeks to respond.

Any exceptions to this process require OAA approval.

3.2.2 Teaching/Professional Practice Faculty

Searches for teaching/professional practice faculty generally proceed identically as for tenure-track faculty, with two exceptions. One is that the candidate's presentations during the on-campus interviews are on teaching and on practice topics, and not on scholarship.

3.2.3 Transfer from the Tenure-Track

Tenure-track faculty may transfer to a teaching/professional practice appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the TIU head, the college dean, the Lima campus dean/director, and the executive vice president and provost. The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual's career goals and activities have changed. Transfers from a teaching/professional practice appointment to the tenure-track are not permitted. Teaching/professional practice faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

3.2.4 Associated Faculty

Lecturers and Senior Lecturers. The Associate Dean, in consultation with the Dean, the TIU head, program coordinators and other relevant faculty members, appoints lecturers to teach specific courses on a term basis. If a new hire is made for a position that requires at least an annual contract, the procedures followed are the same as for tenure-track faculty (see section 3.2.1, above), except that there is no Columbus campus member of the TIU appointed to the search committee.

Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. The appointment and reappointment of all visiting faculty members are decided by the Dean in consultation with the Associate Dean, TIU head, and relevant faculty members.

Retired faculty. Rehiring a retired faculty member requires approval of the campus Dean, the TIU head, and OAA prior to extending an offer (see the [Request to Rehire Retired Ohio State Faculty/Staff](#)).

4 Annual Performance and Merit Reviews

The Dean, in consultation with the Associate Dean, conducts an annual review of all tenure-track and teaching/professional practice faculty members. TIUs must also conduct annual reviews for tenure-track and teaching/professional practice regional campus faculty members, and those faculty members bear the responsibility of finding out what documentation is required by their respective TIU. For tenure-track and teaching/professional practice faculty, the campus annual review focuses primarily on teaching and service; the TIU bears primary responsibility for assessing scholarship or creative activity productivity. For associated faculty, annual reviews focus on summative teaching evaluation and formative self-assessment. The Associate Dean reviews associated faculty teaching through student evaluation of instruction as well as the Peer Evaluation of Teaching process; all associated faculty with annual contracts and all associated faculty who were rehired after retiring meet with the Associate Dean annually for a performance review. Associated faculty on term contracts may choose to meet with the Associate Dean for a performance review.

4.1 Procedures

The campus follows the Office of Academic Affairs policies for annual review and reappointment (available [here](#)). The campus Dean, in consultation with the appropriate TIU head, annually assesses tenure-track and professional practice faculty performance in teaching, service, and scholarship or creative activity in accordance with the same criteria that form the basis for promotion decisions (see section 5, below).

The time frame for assessing teaching and service is the previous calendar year. The time frame for assessing scholarship or creative activity may be longer, dependent on the TIU; wherever possible, however, the Dean and Associate Dean will request a rating that reflects the previous three years for scholarship or creative activity in order to attend to longer-term patterns of increasing or declining productivity. The annual review also covers any additional assignments and goals specific to the individual as well as progress toward promotion where relevant.

In conducting each annual review for tenure-track and teaching/professional practice faculty, the Dean reviews the faculty member's annual review materials (see Documentation below). Faculty members typically submit their annual review materials by early February of the year

following the year to be reviewed. The deans' review includes data on teaching performance (e.g., peer evaluations, student evaluation of instruction data, etc.) and service.

All faculty members have the right (per University Faculty Rule [3335-5-04](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

The documentation described below is separate from and in addition to any documentation required by a faculty member's TIU for its annual review of that faculty member. The Dean will inform faculty in a timely manner of impending deadlines and required materials.

Faculty members annually submit review materials that include an updated CV. Probationary faculty members and associate professors must provide an updated OSU dossier. In order to understand a faculty member's student evaluation of instruction data and peer evaluations in context, the Dean may also review a faculty member's grade distributions and drop rates. Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. Faculty members must check with their TIU to determine what documents to submit to the TIU for their review.

Associated faculty with annual appointments and those that are rehires after retiring from Ohio State must submit an annual professional report. The report will cover the current academic year and include information requested by the Associate Dean. In addition to the written report, all associated faculty submitting an annual professional report also participate in an annual review meeting with the Associate Dean.

4.1.1 Probationary Tenure-Track Faculty

The Dean meets with each probationary faculty member to discuss the faculty member's performance and then prepares a letter summarizing the performance evaluation. The Dean sends the original letter to the faculty member and a copy of the letter to the TIU head. In the event of divergence in performance assessment between the Dean and the TIU, the Dean discusses the matter with the TIU head in an effort to clarify and reconcile the divergence so that the faculty member receives consistent assessment and advice.

4.1.2 Fourth-Year Review

During the fourth year of the probationary period, a tenure-track faculty member undergoes a fourth-year review that serves as the annual review for that year; this review follows the same procedures as the mandatory tenure review with the exception that the external review letters are not required. The Promotion and Tenure committee (P&T Committee) conducts a review of the faculty member according to section 6 of this document (below), which also provides additional information about the P&T Committee. The chair sends the committee's evaluation letter to the Dean, who, after completing an independent review of the faculty member's record and reviewing the letter from the chair of the P&T Committee, sends both her or his own letter and the committee's letter to the faculty member's TIU head. The letter from the Dean includes a recommendation regarding whether or not to renew the faculty member's appointment for an additional probationary year. The review then moves to the TIU and then to the faculty member's college. The college dean makes the final decision regarding renewal or nonrenewal of the probationary appointment.

4.1.3 Exclusion of Time from Probationary Period

University Faculty Rule [3335-6-03](#) (D) sets forth the conditions under which a probationary tenure-track faculty member may exclude time from the probationary period, including for such reasons as the birth of a child, adoption, and adverse events. Additional procedures and guidelines can be found in the OAA [Policies and Procedures Handbook](#).

4.1.4 Tenured Faculty

The annual review process for tenured faculty members is identical to that for tenure-track probationary faculty.

Associate professors and professors are reviewed annually by the Dean. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the campus and their TIU, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in both teaching and mentoring students; and outstanding service to the campus, their TIU, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest-ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review.

The Dean prepares a written evaluation of the performance of all tenured faculty members. The Dean sends the evaluation to the faculty member and sends a copy to the faculty member's TIU head. In the event of divergence in performance assessment between the Dean and the TIU, the TIU head and the Dean discuss the matter in an effort to clarify and reconcile the divergence so that the faculty member receives consistent assessment and advice. The Dean has the authority to make the final decision in case of a difference of opinion regarding a specific performance rating.

The faculty member may provide written comments on the review.

4.1.5 Teaching/Professional Practice Faculty

The annual review process for probationary and non-probationary teaching/professional practice faculty members is identical to that for tenure-track probationary and tenured faculty, respectively.

4.1.6 Associated Faculty

Annual reviews of all associated faculty, except visiting faculty, are the responsibility of the Associate Dean. The decision to renew a compensated associated faculty member's appointment resides with the Dean, whose decision is final. Review of visiting faculty members is the

responsibility of the campus Dean. The Dean's decision about renewal is final.

4.1.7 Salary Recommendations

Merit salary increases for tenured and tenure-track faculty are based as much on qualitative as quantitative contributions in each of the three areas of tenure-track faculty activity: teaching, service, and scholarship or creative activity. Associated faculty increases are based on teaching.

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.

The Dean determines annual salary increases and other performance rewards. Faculty with high-quality performance in all relevant areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more relevant areas are likely to receive minimal or no salary increases.

The Dean rates each tenure-track faculty member's annual performance in teaching and service; the Dean consults with the appropriate TIU head to rate each tenure-track faculty member's performance in scholarship or creative activity. Taken together, these ratings are used to formulate salary increases for meritorious annual performance. In making salary increase recommendations, the Dean also considers market and internal equity issues as appropriate. The following scale is used to assess each of the three areas of performance:

- 1 *Well below expectations*
- 2 *Somewhat below expectations*
- 3 *Meets expectations*
- 4 *Somewhat above expectations*
- 5 *Well above expectations*

Faculty members may meet with the Dean to discuss their individual salary determination process, including but not limited to their salary, salary increase, and/or their ratings. Faculty members who wish to discuss dissatisfaction with their salary increase should be prepared to explain how their salary (rather than the increase) is inappropriately low, since increases are solely a means to the end of an optimal distribution of salaries. In addition, faculty should consult the faculty salary equity appeals process: see Volume 1, Chapter 3, section 2 of the [OAA Policies and Procedures Handbook](#).

Faculty who fail to submit the required documentation (see Section 4.1.1 above) for an annual performance and merit review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

5 Reviews for Promotion & Tenure and for Promotion

Promotion and Tenure decisions are the most important decisions a university makes because they ultimately determine the strength of the university's faculty and, thus, the quality of the university. Detailed P&T procedures exist to ensure that P&T decisions are informed and fair.

P&T decisions should uphold and strengthen the institution. Personal likes and dislikes must be set aside. P&T criteria must reflect, and decisions must be based upon, the best long-term interests of the institution.

P&T decisions involve faculty peer review and administrative review at many levels. For Lima campus candidates, the process begins with peer review and a recommendation by a committee of tenured campus faculty members, followed by a recommendation by the Dean. These campus recommendations become part of subsequent reviews conducted by faculty and administrators in the candidate's department or school (i.e., the TIU), college, and OAA.

Before tenure, a tenure-track faculty member is considered to be on probationary status. Annually, a decision is made as to whether to renew the appointment of a probationary faculty member. A non-renewal decision (unless based upon fiscal or programmatic considerations) must be based on the results of an annual performance review conducted by the Dean using fourth-year review procedures (see Section 4.1.3, above, above). Non-renewal of a probationary faculty member is not to be confused with dismissal for cause. A high level of performance must be documented for renewal, but even excellent performance does not guarantee renewal and tenure, for the needs of the institution may change.

Each step of this process follows detailed procedures set forth in the P&T documents of the respective academic units. Yet the procedures cannot replace judgment. Both are necessary to ensure that the ultimate decision is both free of bias and in the best interests of the university.

The following procedures are followed in conducting the Lima campus purview of P&T reviews of faculty. This document must be understood in its context as only one part of the university P&T process. In particular, candidates must inform themselves of the P&T criteria set forth by their TIUs and must organize their dossiers in the format prescribed by OAA (see the [OAA dossier outline](#)). Candidates should also study the procedures that will be followed by their TIUs, their colleges, and OAA. These are detailed in P&T documents promulgated by the respective units. In addition, the P&T review performed by the Lima campus P&T Committee is limited to evaluation of a candidate's teaching and service contributions. The campus review should not attempt to comment on the quality or quantity of scholarship; evaluation of scholarship is the responsibility of the TIU.

5.1 Tenure-track Faculty

Promotion for tenure-track faculty can be from Assistant Professor to Associate Professor or from Associate Professor to Professor. Tenure typically occurs in the course of promotion from Assistant Professor to Associate Professor for tenure-track faculty. Renewal of appointments of probationary faculty is assessed annually by the Dean (see section 4, above) but is also done twice with faculty involvement: first in the fourth-year review (see Section 4.1.3, above) and second in the tenure review.

The Dean and Director, in consultation with the Executive Committee, will appoint the Chair, Procedures Oversight Designee (POD) and members of the Lima Campus P&T committee based on the recommendations of the Associate Dean, who serves as administrative liaison to the committee. The Associate Dean's recommendations will be determined by a review of the duty roster maintained for this purpose. In years where the number of P&T reviews exceeds five, a second committee may be called into service in accordance with the process described above.

The P&T committee will consist of the chair and five committee members, all tenured faculty and all of whom are voting members of the committee. The terms of appointment are for two years, staggered so that three members will carry over to the next year with one of the three continuing members selected to serve as chair for the year. Faculty members serving on a P&T committee for the first time are generally exempt from serving as chairs; otherwise, all senior faculty members are expected to serve as chair over time. The faculty recognizes that no service responsibility is more important than promotion and tenure decisions. Accordingly, the review committee will find meeting times when all six members can participate and vote. Faculty members who have a relationship by family, marriage, domestic partnership, or would have a conflict-of-interest situation with a candidate under P&T review are precluded from serving on the review committee for that candidate. In order to facilitate the review of P&T dossiers, all review materials will be made available digitally through a secure web site where candidates for promotion and tenure will upload their materials.

5.1.1 Promotion to Associate Professor with Tenure

For a favorable P&T recommendation, the Lima campus requires candidates to demonstrate excellence in teaching, to have excellent records of service appropriate to their rank and discipline, and to have adhered to professional standards of ethical behavior. The summary of a candidate's case, along with the P&T Committee's recommendation, will take the form of a letter addressed to the Lima campus Dean. Candidates must also satisfy the scholarship or creative activity expectations their TIUs have established for regional campus faculty (primary responsibility for evaluating scholarship or creative activity productivity rests with the TIU). In rare instances, a decision not to reappoint a probationary faculty member may be based upon fiscal considerations or upon changes in the programmatic needs of the campus.

5.1.1.1 Teaching

Consistent with its mission, the Lima Campus requires excellent teaching for promotion and tenure. Teaching quality is assessed in multiple ways. The assessment of teaching includes more than peers judging performance before a classroom audience. In addition, course organization, communication of course goals to students, motivation, testing, and help outside of the classroom all contribute to teaching success. Student advising, curriculum development, and faculty involvement in student research may also be included as teaching contributions.

5.1.1.2 Service

All faculty members are expected to contribute to faculty governance and to render excellent service to, and beyond, the campus. The P&T Committee may also consider the quality, in addition to quantity, of service performed. While the P&T Committee may examine service to

the discipline and profession as well as the campus, it may also flag particular contributions for the TIU to evaluate in cases where the TIU may be the more appropriate judge of service quality and impact.

5.1.1.3 Scholarship or Creative Activity

Scholarship or creative activity expectations are set by the TIU. Each TIU has a statement of such expectations in its policies governing promotion and tenure. TIUs recognize that regional campuses differ from the Columbus campus in mission, teaching workload, and facilities, and they take these differences into account when considering P&T cases.

5.1.1.4 Professional Ethics

All faculty members are expected to observe commonly accepted standards of professional ethics as part of their teaching, service, and scholarship or creative activity. The attached AAUP statement (see Appendix) on professional ethics serves as a good summary of the professional ethical responsibilities of faculty members. Significant departure from these ethical standards inevitably compromises the institution's ability to fulfill its missions.

5.1.1.5 Needs of the Campus

Under unusual circumstances it is possible that fiscal problems or changing needs of the campus might render a probationary faculty member's position superfluous. These circumstances would constitute legitimate grounds for non-renewal even if the faculty member's performance has been satisfactory. Non-renewal of a probationary appointment for fiscal or programmatic reasons does not entail a performance review but does require prior approval from the Executive Vice President and Provost.

5.1.2 Promotion to Professor

As with promotion to Associate Professor with tenure, the Lima Campus requires candidates for promotion to Professor to demonstrate excellence in teaching, to have excellent records of service appropriate to their rank and discipline, and to have adhered to professional standards of ethical behavior as part of their teaching, service, and scholarship or creative activity. Candidates must also satisfy the scholarship or creative activity expectations their TIUs have established for regional campus faculty (primary responsibility for evaluating such productivity rests with the TIU).

5.1.3 Teaching/Professional Practice Faculty

Promotion to Assistant Teaching Professor or Professional Practice Assistant Professor. For promotion to assistant teaching professor or professional practice assistant professor, a faculty member must complete the terminal degree in their field and meet the required licensure/certification in his or her specialty and be performing satisfactorily in teaching, professional practice, and service. The faculty member's TIU may specify additional criteria. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

Promotion to Associate Teaching Professor or Professional Practice Associate Professor.

For promotion to associate teaching professor or professional practice associate professor, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of Ohio State Lima. Specific criteria in teaching and service for promotion to associate teaching professor or professional practice associate professor are similar to those for promotion to associate professor with tenure. The faculty member's TIU may specify additional criteria. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

Promotion to Teaching Professor or Professional Practice Professor. For promotion to teaching professor or professional practice professor, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to Ohio State Lima and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice. The faculty member's TIU may specify additional criteria. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

5.1.4 Promotion to Senior Lecturer

Any faculty member, in consultation with the Associate Dean, may nominate a Lecturer for this promotion. Self-nominations in consultation with the Associate Dean are also accepted. Nominations must be submitted to the Senior Lecturer Committee (SLC) through the Associate Dean. Nominations can be made at any time. A nominated associated faculty member must notify the Associate Dean of the intent to submit an application for Promotion to Senior Lecturer by the last Friday in February. A completed application must be received by the Associate Dean by the first Friday in March.

Criteria for Promotion from Lecturer to Senior Lecturer

Lecturers with a Terminal degree in the field (generally a PhD or other doctorate, but in some cases MFA/MSW) must have at least five years of service on the Lima Campus. Lecturers with a Master's degree in the field must have at least ten years of service on the Lima Campus. The required years of service for Lecturers with Terminal or a Master's degree in the field must be while in a full-time position that includes a significant teaching component (at least a 50% teaching appointment), and with "exceptional contributions to course and/or program development on campus," in addition to demonstrated excellence in teaching, such as indicated by SEI scores, student discursive evaluations, and teaching awards.

The candidate must have at least three peer evaluations of teaching by tenured members of the faculty or emeritus faculty within the last three years. Although not required for Lecturer positions, both scholarship (contributing to professional development) and service (contributing to the campus or community) will be considered as well.

Note: Promotion to Senior Lecturer is not meant simply as a reward for longevity in the Lecturer position. Rather, it is recognition for a distinguished body of work in teaching on the Lima Campus.

Senior Lecturer Committee

The Senior Lecturer Committee (SLC) is composed of the Associate Dean, two tenure-line faculty members (at least one of which is a current member of the Teaching Effectiveness Committee), and one Senior Lecturer (the most-recently appointed, if possible). The SLC will evaluate Promotion to Senior Lecturer applications. Once the evaluation is completed, if the outcome is in favor of promotion, the materials for the candidate will be sent to the appropriate Columbus department for approval, since promotion to Senior Lecturer requires approval from the appropriate Columbus department.

5.2 Procedures

This section consists of overviews of the procedures involved in promotion and tenure and promotion deliberations. In general, these are provided to furnish participants—including candidates, committee members, and the campus Dean—with guidelines intended to promote fairness, timeliness, and professionalism in promotion and tenure and promotion decisions.

5.2.1 Responsibilities of the P&T Committee, and Description of Review Process

The Associate Dean will establish a timeline for the review process based on the date all Lima Campus materials are due in the TIU. The P&T committee chair will then inform each candidate of the deadline for submitting materials on the Lima campus, allowing sufficient time for the P&T committee to complete its work and forward its recommendation to the Dean and for the Dean to meet the TIU deadline for review letters from the regional campus. In general, the campus receives all of the materials required by the TIU and OAA (except for products of research), in the same format (e.g., the Core Dossier prescribed by OAA), and makes every attempt not to require candidates to prepare documents not required for the TIU. It is the responsibility of each candidate to submit a complete dossier, as dictated by the OAA and the guidelines of their TIU, and to upload the complete dossier for the campus P&T review to a secure website for use by the review committee.

Given the limitations of the online SEIs for evaluating teaching, candidates must provide the campus committee with all qualitative teaching evaluations available to the TIU, including letters by peer observers, summaries of discursive student evaluations, and any other teaching related materials submitted to the TIU. The definition of teaching activities and specification of evidence to be provided in support of these activities rests in all cases with the TIU. (Librarians, for example, are evaluated on their responsibilities in librarianship instead of teaching, as defined by the University Libraries' P&T document, which specifies the documentation and evaluations relevant to this activity.)

After thorough review and discussion of a candidate's record in teaching and service, the committee votes by secret ballot whether to recommend the candidate for promotion, tenure, and/or a successful fourth-year review. No review shall proceed without at least five committee members participating in the deliberations and voting process.

The chair drafts a review letter with the assistance of other committee members. The letter should reflect the consensus of the entire committee about the candidate's strengths in teaching and service. All committee members will have the opportunity to review a draft of the letter and

the chair will make revisions in an attempt to accommodate each committee member's concerns, though in the end only the chair signs the letter, which is addressed to the Dean and Director. All voting members of the Lima Campus P&T committee will be identified along with their department affiliation following the Chair's signature.

In accordance with OAA policy, tenured faculty and non-probationary teaching/professional practice faculty on a regional campus are permitted to vote as members of the eligible faculty on both the regional campus and in their TIU in Columbus. Tenured faculty of equal or higher rank than the candidate being considered may vote in the reappointment, promotion, and/or tenure reviews of tenure-track and teaching/professional practice faculty. Non-probationary teaching/professional practice faculty of equal or higher rank than the candidate being considered are permitted to vote on teaching/professional practice faculty matters including reappointment and promotion reviews. They may not vote on tenure track faculty promotion or tenure reviews. As these are university-wide rules, they pertain to faculty members in all departments. No votes by proxy or in absentia are allowed. When necessary, committee members may participate in the deliberations by conference call or video link if not in person in order to vote. A simple majority of those voting and not abstaining is required for the committee to recommend a positive review.

The chair's letter will report the results of this vote in the form of a tally. In keeping with OAA procedures governing the reviews of regional campus faculty, the Lima Campus P&T committee review letter will focus on the candidate's record of teaching and service, and will include the following paragraph:

We on the Lima Campus Promotion and Tenure Committee understand that it is not our charge to judge the merit of this candidate's scholarship or creative work. We note, however, that scholarship or creative endeavors form a vital component of all tenure track positions. We value the scholarly achievements of Lima faculty and the opportunities these achievements bring to our students. We defer to our colleagues in this candidate's TIU to judge the merit, in terms of quality and quantity, of the candidate's scholarly and creative work.

If a candidate's research overlaps with service activities, e.g. through community outreach, the section of the letter discussing service should address these activities as they pertain to service. The same principle applies to the discussion of teaching when a candidate has incorporated research into teaching activities. In principle, these discussions of service or teaching must avoid any attempt to sum up or evaluate the candidate's research contributions. The Dean's office will send the candidate a copy of the review letters of both the Dean and the P&T Committee when they are forwarded to the TIU.

5.2.2 Responsibilities of the Campus Dean

The Dean is responsible for evaluating each candidate fairly and shares responsibility with the POD for ensuring that campus procedures are followed and that deliberations are free of bias.

Upon receipt of the promotion committee's letter, the Dean will examine the candidate's file and dossier. Informed by this examination and by the promotion committee's letter, the Dean will prepare a separate letter of evaluation. The Dean will send this letter to the TIU head along with

the promotion committee's letter. In cases where opinion is sharply divided or conflicts arise, the Dean will meet with the promotion committee prior to submitting the Dean's letter in order to discuss the case as well as her or his recommendation. The final recommendations of the Dean and the promotion committee need not be the same.

When the campus review is complete, the Dean will promptly inform the candidate of the outcome and will offer the candidate the opportunity to view the letters prepared by the promotion committee and by the Dean. The Dean will notify all members of the promotion committee of the ultimate disposition of each case.

5.2.3 Responsibilities of the Candidate

Every candidate must submit a complete and accurate dossier that follows the OAA [dossier outline](#). While the P&T Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for the accuracy and completeness of all parts of the dossier that are to be completed by the candidate. The candidate must also submit separate documentation to her or his TIU according to that TIU's policies, including a copy of the APT document under which they wish to be reviewed.

Candidates may submit their TIU's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year.

The campus review typically excludes the evaluation of scholarship or creative activity. In most situations, the candidate therefore does not submit scholarly or creative publications for the Lima campus review. Yet pedagogical scholarship related to one's teaching at the college level may constitute a teaching contribution. The P&T Committee will consider such publications in its evaluation of the candidate's teaching performance.

6 Appeals of Reviews for Promotion and Tenure

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

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

7 Procedures for Student and Peer Evaluation of Teaching

Use of the Student Evaluation of Instruction (SEI) is required in every course offered on this campus. Handwritten discursive student evaluations may also be used at the discretion of each faculty member if student comments are turned off in the online SEI for that course. Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-class time for students to complete the evaluation using a mobile application and/or distribute handwritten evaluations. The faculty member must leave the classroom during

the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching. If handwritten evaluations are used, faculty members should notify Faculty Services in advance; a student should return all handwritten evaluations to Faculty Services, after which they will be sent to the Dean's office for review before being returned to the faculty member.

Lima Peer Evaluation Protocol

a. Peer Evaluation of Teaching:

The Associate Dean and the teaching and academic practices (TAP) committee oversee the campus's peer evaluation of teaching process. Classroom-visit protocol includes completing a form approved by the dean/director and/or submitting a narrative evaluation in the form of a letter or memo to the associate dean for academic affairs. The instructor receives a copy of the evaluation from the evaluator.

b. Preparing Peer Evaluators and Conducting the Evaluation:

Peer evaluations of teaching are comprehensive and may include, in addition to classroom visitation, review of course syllabi, instructional materials, assignments, and exams. Faculty under review should provide peer reviewers with the course syllabus and other materials (classroom exercises, activities, etc.) well in advance of the classroom visit or visits. They could also provide reviewers with a list of preferred visitation dates. In addition to preparing a written report for the faculty member's file, the reviewer might offer to meet with the faculty member following the classroom visitation for a more informal consultation about their teaching effectiveness. Although there is no requirement that a peer reviewer must be of higher rank than the faculty member being reviewed, the campus will attempt to follow such a model to the extent possible. Faculty members should consult the OAA [Policies and Procedures Handbook](#) and be in regular contact with their TIU and Lima campus administration to learn preferences regarding the frequency of teaching evaluations and from whom (e.g., evaluators within the TIU, from other regional campuses, or from the Lima campus). The TAP will help in securing evaluators as well. Securing evaluations from a range of evaluators across different campuses is preferred but may not always be practical.

Written reports of peer evaluation of teaching may focus not only on classroom performance (e.g., SEI criteria) but also on curricular choices, implicit and explicit goals of instruction, quality and effectiveness of testing tools, and engagement with current disciplinary knowledge. Written reports should be completed by the end of the semester of review and submitted to the associate dean for academic affairs, copied to the faculty member. The faculty member may provide written comments on this report and the peer reviewer may respond in writing to those comments if he or she wishes. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier, unless the faculty member requests the comments be excluded.

c. Additional Peer Evaluations of Teaching:

Faculty may receive more reviews if required by the TIU, and the TIU is responsible for arranging any reviews that it requires beyond those conducted by the Lima campus. The dean/director may arrange a peer evaluation of the teaching of any faculty member whom the dean/director judges would benefit from review. Typically, such reviews are in response to low or declining student evaluations or other evidence of the need for providing assistance to

improve teaching.

Any faculty member may request additional peer evaluation of teaching. Evaluations conducted at the request of the faculty member are considered formative only. The dean/director 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 [Michael V. Drake Institute for Teaching and Learning](#).

8 Appendix: American Association of University Professors Statement on Professional Ethics

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

8.1 Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and the Committee on Professional Ethics, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles on Academic Freedom and Tenure*, the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*, or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure*.

8.2 The Statement

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

2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly

assistance from them. They protect their academic freedom.

3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.