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2 **Appointments, Promotion, and Tenure Criteria and Procedures**  
3 **Department of Germanic Languages and Literatures**  
4 **Revised: 09/15/15**

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## **I Preamble**

This document is a supplement to Chapters 6 and 7 of the University Faculty Rules (<http://trustees.osu.edu/university/facultyrules>); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook (<http://oaa.osu.edu/handbook.html>); and other policies and procedures of the college and university to which the department and its faculty are subject.

Should those rules and policies change, the department 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 department chair.

This document must be approved by the dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments and 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 department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-01.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/rules6/ru6-02.html>) and other standards specific to this department and 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 Department Mission**

The Department of Germanic Languages and Literatures has as its mission the pursuit of national and international distinction in teaching, research, and public service within the scope of its expertise: the Germanic languages, literatures, and cultures. In striving for this goal, the Department seeks to address three main constituencies, each of which it recognizes as crucial to its mission: undergraduate students, in particular those majoring and minoring in Germanic languages and literatures; graduate students at the master's and doctoral levels; and, through its research and scholarly activities, the broader community of interested students and scholars around the country and the world.

## **III Definitions**

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

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

1 The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty  
2 whose tenure resides in the department. For an appointment at senior rank, a second vote is taken by the  
3 faculty members eligible to vote on the rank under consideration.  
4

5 The eligible faculty for senior rank of new appointments, reappointment, promotion and tenure, and  
6 promotion reviews of tenure-track faculty consists of all tenured faculty of higher rank than the candidate  
7 whose tenure resides in the department excluding the department chair, the dean and assistant and  
8 associate deans of the college, the executive vice president and provost, and the president.  
9

10 For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides  
11 in the department excluding the department chair, the dean and assistant and associate deans of the  
12 college, the executive vice president and provost, and the president.  
13

## 14 **2 Conflict of Interest**

15  
16 A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable  
17 close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some  
18 way on the candidate's services, has a close professional relationship with the candidate (dissertation  
19 advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's  
20 work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50%  
21 of the candidate's published work since the last promotion will be expected to withdraw from a promotion  
22 review of that candidate.  
23

## 24 **3 Minimum Composition**

25  
26 In the event that the department does not have at least three eligible faculty members who can undertake a  
27 review, the department chair, after consulting with the dean, will appoint a faculty member from another  
28 department within the college.  
29

## 30 **B Quorum**

31  
32 The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty  
33 not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be  
34 excluded from the count for the purposes of determining quorum only if the department chair has  
35 approved an off-campus assignment.  
36

37 Faculty members who recuse themselves because of a conflict of interest are not counted when  
38 determining quorum.  
39

## 40 **C Recommendation from the Committee of the Eligible Faculty**

41  
42 In all votes taken on personnel matters only "yes" and "no" votes are counted. Abstentions are not votes.  
43 Faculty members are strongly encouraged to consider whether they are participating fully in the review  
44 process when abstaining from a vote on a personnel matter.  
45

46 Absentee ballots and proxy votes are not permitted.  
47

## 48 **1 Appointment**

49  
50 A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the  
51 votes cast are positive.

1  
2 **2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**  
3

4 A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion,  
5 and contract renewal is secured when two-thirds of the votes cast are positive.  
6

7 **IV Appointments**  
8

9 **A Criteria**  
10

11 The department is committed to making only faculty appointments that enhance or have strong potential  
12 to enhance the quality of the department. Important considerations include the individual's record to date  
13 in teaching, scholarship and service; the potential for professional growth in each of these areas; and the  
14 potential for interacting with colleagues and students in a way that will enhance their academic work and  
15 attract other outstanding faculty and students to the department. No offer will be extended in the event  
16 that the search process does not yield one or more candidates who would enhance the quality of the  
17 department. The search is either cancelled or continued, as appropriate to the circumstances.  
18

19 **1 Tenure-track Faculty**  
20

21 **Instructor.** Appointment at the rank of instructor is made only when the offered appointment is that of  
22 assistant professor, but requirements for the terminal degree have not been completed by the candidate at  
23 the time of appointment. The department will make every effort to avoid such appointments. An  
24 appointment at the instructor level is limited to three years. When an instructor has not completed  
25 requirements for promotion to the rank of assistant professor by the end of the third year of appointment,  
26 the third year is a terminal year of employment.  
27

28 Upon promotion to assistant professor, the faculty member may request prior service credit for time spent  
29 as an instructor. This request must be approved by the department's eligible faculty, the department chair,  
30 the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior  
31 service credit is appropriate since prior service credit cannot be revoked without a formal request for an  
32 extension of the probationary period. In addition all probationary faculty members have the option to be  
33 considered for early promotion.  
34

35 **Assistant Professor.** An earned terminal degree is the minimum requirement for appointment at the rank  
36 of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-  
37 quality service to the department and the profession is highly desirable. Appointment at the rank of  
38 assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of  
39 service. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure  
40 Committee determines such a review to be appropriate. The granting of prior service credit, which  
41 requires approval of the Office of Academic Affairs, may reduce the length of the probationary period,  
42 but is strongly discouraged as it cannot be revoked once granted.  
43

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

1  
2 Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved  
3 for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.  
4

## 5 **2 Tenure-track Faculty—Regional Campus**

6

7 As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria  
8 for appointment at the rank of assistant professor, associate professor, or professor are similar to those for  
9 Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and  
10 quality.

## 11 **3 Associated Faculty**

12

13  
14 Associated faculty appointments may be as short as a couple weeks to assist with a focused project, a  
15 semester to teach one or more courses, or for up to three years when a longer contract is useful for long-  
16 term planning and retention. With the exception of visiting faculty, associated faculty may be  
17 reappointed.  
18

19 **Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments  
20 may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give  
21 academic service to the department, such as teaching a course or serving on graduate student committees,  
22 for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the  
23 criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but  
24 not tenure) and the relevant criteria are those for promotion of tenure-track faculty.  
25

26 **Lecturer.** Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a  
27 field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction  
28 is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the  
29 criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed  
30 one year.  
31

32 **Senior Lecturer.** Appointment as senior lecturer requires that the individual have, at a minimum, a  
33 doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide  
34 high-quality instruction; or a Master's degree and at least five years of teaching experience with  
35 documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The initial  
36 appointment for a senior lecturer should generally not exceed one year.  
37

38 **Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-  
39 track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated  
40 (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for  
41 appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for  
42 promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.  
43

44 **Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.**  
45 Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members  
46 on leave from an academic appointment at another institution are appointed at the rank held in that  
47 position. The rank at which other (non-faculty) individuals are appointed is determined by applying the  
48 criteria for appointment of tenure-track faculty. Visiting faculty members are not eligible for tenure or  
49 promotion. They may not be reappointed for more than three consecutive years at 100% FTE.  
50

#### 4 Courtesy Appointments for Faculty

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

#### B Procedures

See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/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 college and the Office of Academic Affairs in advance. Search procedures must be consistent with the university policies set forth in the most recent update of A Guide to Effective Searches ([www.hr.osu.edu/hrpubs/guidesearches.pdf](http://www.hr.osu.edu/hrpubs/guidesearches.pdf)).

Searches for tenure-track faculty proceed as follows:

The dean of the college provides approval for the department 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 department chair appoints a search committee consisting 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 department. At least one student will also be appointed to the search committee.

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 (formerly known as the "green sheet") through the Office of Human Resources Employment Services ([www.hr.osu.edu/](http://www.hr.osu.edu/)) and external advertising, subject to the department 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, credentials, 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.

- 1  
2
- 3 • Develops and implements a plan for external advertising and direct solicitation of nominations  
4 and applications. If there is any likelihood that the applicant pool will include qualified foreign  
5 nationals, the search committee must assure that at least one print (as opposed to on-line)  
6 advertisement appears in a location likely to be read by qualified potential applicants. The  
7 university does not grant tenure in the absence of permanent residency ("green card"), and strict  
8 U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for  
9 permanent residency unless the search process resulting in their appointment to a tenure-track  
10 position included an advertisement in a field-specific nationally circulated professional journal.
  - 11 • Screens applications and letters of recommendation and presents to the full faculty a summary of  
12 those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this  
13 judgment, on-campus interviews are arranged by the search committee chair, assisted by the  
14 department office. If the faculty does not agree, the department chair in consultation with the  
15 faculty determines the appropriate next steps (solicit new applications, review other applications  
16 already received, cancel the search for the time being).

17  
18 On-campus interviews with candidates must include opportunities for interaction with faculty groups,  
19 including the search committee; graduate students; the department chair; and the dean or designee. In  
20 most cases candidates will make a presentation to the faculty and graduate students on their scholarship,  
21 and teach a class. The latter could be an actual class or a mock instructional situation. All candidates  
22 interviewing for a particular position must follow the same interview format.

23  
24 Following completion of on-campus interviews, the eligible faculty meet to discuss perceptions and  
25 preferences, and to vote on each candidate. The eligible faculty reports a recommendation on each  
26 candidate to the department chair.

27  
28 If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the  
29 proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the  
30 appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of  
31 the proposed rank or the appropriateness of prior service credit to the department chair.

32  
33 In the event that more than one candidate achieves the level of support required to extend an offer, the  
34 department chair decides which candidate to approach first. The details of the offer, including  
35 compensation, are determined by the department chair.

36  
37 Potential appointment of a foreign national who lacks permanent residency must be discussed with the  
38 Office of International Affairs. The university does not grant tenure in the absence of permanent  
39 residency status. The department will therefore be cautious in making such appointments and vigilant in  
40 assuring that the appointee seeks residency status promptly and diligently.

## 41 42 **2 Tenure-track Faculty—Regional Campus**

43  
44 The regional campus has primary responsibility for determining the position description for a tenure-track  
45 faculty search, but the dean/director or designee consults with the department chair to reach agreement on  
46 the description before the search begins. The regional campus search committee must include at least one  
47 representative from the department.

48  
49 Candidates are interviewed by, at a minimum, the regional campus dean, department chair, department  
50 eligible faculty, and regional campus search committee. The regional campus may have additional  
51 requirements for the search not specified in this document. A decision to make an offer requires



1 agreement by the department chair and regional campus dean. Until agreement is reached, negotiations  
2 with the candidate may not begin, and the letter of offer must be signed by the department chair and the  
3 regional campus dean.

### 4 5 **3 Associated Faculty**

6  
7 The appointment, review, and reappointment of all compensated associated faculty is decided by the  
8 department chair in consultation with the department Executive Committee.

9  
10 Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any  
11 faculty member in the department and is decided by the department chair in consultation with the  
12 department Executive Committee.

13  
14 Compensated associated appointments are generally made for a period of one year, unless a shorter or  
15 longer period is appropriate to the circumstances. All associated appointments expire at the end of the  
16 appointment term and must be formally renewed to be continued. Visiting appointments may be made for  
17 one term of up to three years or on an annual basis for up to three consecutive years.

18  
19 Lecturer and senior lecturer appointments are usually made on a semester by semester or annual basis.  
20 After the initial appointment, and if the department's curricular needs warrant it, a multiple year  
21 appointment may be offered.

22  
23 Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures  
24 for tenure-track faculty (see Appointment Criteria above), with the exception that the review does not  
25 proceed to the college level if the department chair's recommendation is negative, and does not proceed to  
26 the university level if the dean's recommendation is negative.

### 27 28 **4 Courtesy Appointments for Faculty**

29  
30 Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track,  
31 clinical, or research faculty member from another Ohio State department. A proposal that describes the  
32 uncompensated academic service to this department justifying the appointment is considered at a regular  
33 faculty meeting. If the proposal is approved by the eligible faculty, the department chair extends an offer  
34 of appointment. The department chair reviews all courtesy appointments every three years to determine  
35 whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a  
36 vote at a regular meeting.

### 37 38 **V Annual Review Procedures**

39  
40 The department follows the requirements for annual reviews as set forth in the Faculty Annual Review  
41 Policy (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>).

42  
43 The annual reviews of every faculty member are based on expected performance in teaching, scholarship,  
44 and service as set forth in the department's guidelines on faculty duties and responsibilities; on any  
45 additional assignments and goals specific to the individual; and on progress toward promotion where  
46 relevant.

47  
48 It must be recognized that in the Department of Germanic Languages and Literatures some faculty  
49 members are primarily engaged in language instruction, others in the teaching of literature, culture,  
50 linguistics, civilization, or film. The nature of teaching, and particularly, of research and service will thus

1 vary. Care, reasonable flexibility, and attention to the standards and conventions of these disciplines or  
2 sub-disciplines must be exercised in evaluating candidates with varied commitments and responsibilities.

3  
4 The documentation required for the annual performance review of every faculty member is described  
5 under Merit Salary Increases below. This material must be submitted to the department chair no later than  
6 January 15.

7  
8 The department chair is required (per Faculty Rule 3335-3-35 [[http://trustees.osu.edu/rules/university-  
9 rules/chapter-3335-3-administration.html](http://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html)]) to include a reminder in the annual review letter that all  
10 faculty have the right (per Faculty Rule 3335-5-04 [[http://trustees.osu.edu/rules/university-  
11 rules/chapter-3335-5-faculty-governance-and-committees.html](http://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html)]) to view their primary personnel  
12 file and to provide written comment on any material therein for inclusion in the file.

### 13 14 **A Probationary Tenure-track Faculty**

15  
16 During the Spring Semester of each year the Committee of the Eligible Faculty will conduct a review of  
17 each probationary faculty member. This annual review will encompass the candidate's performance in  
18 teaching, scholarship, and service, as well as evidence of continuing development. External evaluations  
19 of the faculty member's work, required for tenure and promotion reviews, may be obtained for any annual  
20 review if judged appropriate by the Committee or the Chair of the Department. This may occur when the  
21 candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel  
22 otherwise capable of evaluating the scholarship without outside input. If the candidate is affiliated with a  
23 center in the College or the University, the Department Chair should ask the center's director (or his/her  
24 representative) to provide a written evaluation of the candidate's contribution to the mission of the center.  
25 Upon the request of the Committee, directors or their representatives may also become part of the  
26 Committee in cases involving one of their affiliates.

27  
28 The Chair of the Department or the Chair of the Committee will inform probationary faculty members, at  
29 the initial appointment and well in time each year thereafter, when the annual review will take place and  
30 provide a copy of the Office of Academic Affairs dossier outline to be completed by the faculty member  
31 in reporting accomplishments to date. In accordance with the outline, candidates will then provide  
32 appropriate professional materials for review to the Chair, who will make them available to the  
33 Committee. The Committee may also seek such additional information as necessary and consult with  
34 colleagues as necessary for a fair and thorough review.

35  
36 Annual reviews should be both constructive and candid. Accordingly, the Department commits itself to  
37 using the review process as a means to be supportive and helpful to untenured faculty as well as to  
38 communicate, candidly and clearly, aspects of performance that need improvement if the candidate is to  
39 make acceptable progress. If an annual review makes it apparent that a candidate is unlikely to meet  
40 expectations for promotion and tenure, the Department will not renew the probationary appointment.  
41 Probationary appointments may be terminated during any probationary year because of inadequate  
42 performance or inadequate professional development.

43  
44 During the fourth- and sixth-year reviews a vote by the Committee on Promotion and Tenure is  
45 mandatory. Votes cast as abstentions are not included in the final computation. However, the number of  
46 votes cast as abstentions will be recorded and reported. The Chair of the Department takes part in the  
47 Committee's deliberations at all levels, but does not vote. All votes will be by written, confidential ballot.

48  
49 Following each annual review, the Chair of the Committee will summarize the Committee's deliberations  
50 and, after due consultation with the Committee, send the summary to the Chair of the Department. The

1 candidate must be given a copy. Once the Department Chair and the candidate have had a chance to  
2 study the memorandum, they will meet jointly with the Chair of the Committee. Sometime after this  
3 meeting the Department Chair will provide the candidate and the Dean with a formal written assessment  
4 of the faculty member's performance and professional development. The Chair's letter, drawing on both  
5 the Committee's and his or her own judgment, will address the candidate's strengths and weaknesses, as  
6 appropriate, and indicate whether the faculty member will be reappointed for another year. It will also  
7 remind the faculty member of the right to inspect his or her personnel file, as indicated in faculty rule  
8 3335-5-04. Should the Committee's judgment differ from that of the Department Chair, the Chair's letter  
9 must explain the reason(s) for the differing assessments. The Chair's annual review letter and the  
10 Committee Chair's summary will become part of a faculty member's dossier for subsequent annual  
11 reviews during the probationary period, including the review for promotion and tenure. Candidates may  
12 respond to the Chair's letter in writing and include the response in their promotion and tenure dossiers.  
13

14 If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule  
15 3335-6-04 [<http://trustees.osu.edu/rules/university-rules/rules6/ru6-04.html>]) is invoked. Following  
16 completion of the comments process, the complete dossier is forwarded to the college for review and the  
17 dean makes the final decision on renewal or nonrenewal of the probationary appointment.  
18

### 19 **1 Regional Campus Faculty**

20  
21 Annual review of the probationary faculty member is first conducted on the regional campus, with a focus  
22 on teaching and service. The review then moves to the department and proceeds as described above. In  
23 the event of divergence in performance assessment between the regional campus and the department, the  
24 department chair discusses the matter with the regional campus dean/director in an effort to clarify and  
25 reconcile the divergence, so that the faculty member receives consistent assessment and advice.  
26

27 In the event that the regional campus Dean/Director recommends renewal and the Department Chair  
28 recommends nonrenewal, the case shall be reviewed by the Dean of the College. The disagreement shall  
29 be considered during that review, with the Dean of the College's judgment prevailing. If the  
30 Dean/Director recommends nonrenewal and the Chair recommends renewal, the Chair's judgment shall  
31 prevail.  
32

### 33 **2 Fourth-Year Review**

34  
35 During the fourth year of the probationary period the annual review follows the same procedures as the  
36 mandatory tenure review, with the exception that external evaluations are optional and the dean (not the  
37 department chair) makes the final decision regarding renewal or nonrenewal of the probationary  
38 appointment.  
39

40 External evaluations are only solicited when either the department chair or the eligible faculty determine  
41 that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's  
42 scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise  
43 capable of evaluating the scholarship without outside input.  
44

45 The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty  
46 votes by written ballot on whether to renew the probationary appointment.  
47

48 The eligible faculty forwards a record of the vote and a written performance review to the department  
49 chair. The department chair conducts an independent assessment of performance and prepares a written  
50 evaluation that includes a recommendation on whether to renew the probationary appointment. At the  
51 conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04

1 [\[http://trustees.osu.edu/rules/university-rules/rules6/ru6-04.html\]](http://trustees.osu.edu/rules/university-rules/rules6/ru6-04.html)) is followed and the case is forwarded to  
2 the college for review, regardless of whether the department chair recommends renewal or nonrenewal.  
3

### 4 **3 Exclusion of Time from Probationary Period**

5  
6 Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-03.html>) sets forth  
7 the conditions under which a probationary tenure-track faculty member may exclude time from the  
8 probationary period. Additional procedures and guidelines can be found in the Office of Academic  
9 Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>).  
10

### 11 **B Tenured Faculty**

12  
13 Associate Professors and Professors are reviewed annually by the department chair. The department chair  
14 meets with the faculty member to discuss his or her performance and future plans and goals, and prepares  
15 a written evaluation on these topics. The faculty member may provide written comments on the review.  
16

### 17 **C Tenured Faculty—Regional Campus**

18  
19 Annual review of the tenured faculty member is first conducted on the regional campus, with a focus on  
20 teaching and service. The review then moves to the department and proceeds as described above. In the  
21 event of divergence in performance assessment between the regional campus and the department, the  
22 department chair discusses the matter with the regional campus dean/director in an effort to clarify and  
23 reconcile the divergence, so that the faculty member receives consistent assessment and advice.  
24

### 25 **D Associated Faculty**

26  
27 Compensated associated faculty members in their initial appointment must be reviewed before  
28 reappointment. The department chair, or designee, prepares a written evaluation and meets with the  
29 faculty member to discuss his or her performance, future plans, and goals. The department chair's  
30 recommendation on renewal of the appointment is final. If the recommendation is to renew, the  
31 department chair may extend a multiple year appointment.  
32

33 Compensated associated faculty members on a multiple year appointment are reviewed annually by the  
34 department chair, or designee. The department chair, or designee, prepares a written evaluation and meets  
35 with the faculty member to discuss his or her performance, future plans, and goals. No later than October  
36 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The department  
37 chair's recommendation on reappointment is final.  
38

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

### 40 **A Criteria**

41  
42  
43 Except when the university dictates any type of across the board salary increase, all funds for annual  
44 salary increases are directed toward rewarding meritorious performance and assuring, to the extent  
45 possible given financial constraints, that salaries reflect the market and are internally equitable.  
46

47 On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to recognize  
48 non-continuing contributions that justify reward but do not justify permanent salary increases. Such  
49 payments/rewards are considered at the time of annual salary recommendations.  
50

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

7  
8 Faculty who fail to submit the required documentation for an annual review at the required time will  
9 receive no salary increase in the year for which documentation was not provided, except in extenuating  
10 circumstances, and may not expect to recoup the foregone raise at a later time.

## 11 **B Procedures**

12  
13  
14 The department chair recommends annual salary increases and other performance rewards to the dean,  
15 who may modify these recommendations. In formulating recommendations, the department chair consults  
16 with the department Executive Committee. Salary increases are formulated in dollar amounts rather than  
17 percentage increases, with the goal of distributing available funds in a manner that achieves the optimal  
18 distribution of salaries. As a general approach to formulating salary recommendations, the department  
19 chair divides faculty into at least four groups based on continuing productivity (high, average, low, and  
20 unsatisfactory) and considers market and internal equity issues as appropriate.

21  
22 Faculty members who wish to discuss dissatisfaction with their salary increase with the department chair  
23 should be prepared to explain how their salary (rather than the increase) is inappropriately low, since  
24 increases are solely a means to the end of an optimal distribution of salaries.

## 25 **C Documentation**

26  
27  
28 The annual performance review of every faculty member requires that all documentation described below,  
29 including the two summary documents, be submitted to the department chair no later than January 15.

- 30
- 31 • updated CV
  - 32 • updated Department of Germanic Languages and Literatures Annual Faculty Report (see  
33 appendix A)
- 34

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

38  
39 Under no circumstances should faculty solicit evaluations from any party for purposes of the annual  
40 review, as such solicitation places its recipient in an awkward position and produces a result that is  
41 unlikely to be candid.

42  
43 The time period covered by the documentation described below is the previous calendar year.

## 44 **1 Teaching**

45  
46  
47 Cumulative eSEI reports (Student Evaluation of Instruction computer generated summaries prepared by  
48 the Office of the University Registrar) for every class taught.

49  
50 Peer evaluation of teaching reports.

51

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

6  
7 Other relevant documentation of teaching as appropriate.

## 8 9 **2 Scholarship**

10  
11 Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but  
12 not yet published must be accompanied by a letter from the publisher stating that the paper has been  
13 unequivocally accepted and is in final form with no further revisions needed.

14  
15 Documentation of grants and contracts received.

16  
17 Other relevant documentation of scholarship as appropriate (published reviews including publications  
18 where one's work is favorably cited, grants and contract proposals that have been submitted).

## 19 20 **3 Service**

21  
22 Any available documentation of the quality of service that enhances the list of service activities in the  
23 dossier.

## 24 25 **VII Promotion and Tenure and Promotion Reviews**

### 26 27 **A Criteria**

28  
29 Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-02.html>) provides the  
30 following context for promotion and tenure and promotion reviews:

31  
32 *In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable*  
33 *flexibility shall be exercised, balancing, where the case requires, heavier commitments and*  
34 *responsibilities in one area against lighter commitments and responsibilities in another. In*  
35 *addition, as the university enters new fields of endeavor, including interdisciplinary endeavors,*  
36 *and places new emphases on its continuing activities, instances will arise in which the proper*  
37 *work of faculty members may depart from established academic patterns. In such cases care must*  
38 *be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual*  
39 *attainment, in accordance with the criteria set forth in these rules, is an essential qualification for*  
40 *promotion to tenured positions. Clearly, insistence upon this standard for continuing members of*  
41 *the faculty is necessary for maintenance and enhancement of the quality of the university as an*  
42 *institution dedicated to the discovery and transmission of knowledge.*

### 43 44 **1 Promotion to Associate Professor with Tenure**

45  
46 Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-02.html>) provides the  
47 following general criteria for promotion to associate professor with tenure:

48  
49 *The awarding of tenure and promotion to the rank of associate professor must be based on*  
50 *convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar,*  
51 *and as one who provides effective service; and can be expected to continue a program of high-*

1           *quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which*  
2           *the faculty member is assigned and to the university.*

3  
4 Tenure is not awarded below the rank of associate professor at The Ohio State University.

5  
6 The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and  
7 judge the probability that faculty, once tenured, will continue to develop professionally and contribute to  
8 the department's academic mission at a high level for the duration of their time at the university.

9  
10 Every candidate is held to a high standard of excellence in all aspects of performance. Accepting  
11 weakness in any aspect of performance in making a tenure decision is tantamount to deliberately  
12 handicapping the department's ability to perform and to progress academically. Above all, candidates are  
13 held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's  
14 primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate  
15 teaching is required. A mediocre performance in this area would not be adequately counterbalanced by  
16 excellent performance in another aspect of teaching that is a significantly smaller part of the individual's  
17 responsibilities.

18  
19 Excellence in teaching, scholarship, and service are moreover defined to include professional ethical  
20 conduct in each area of responsibility, consistent with the American Association of University Professors'  
21 Statement on Professional Ethics  
22 (<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>).

23  
24 The accomplishments listed below in the areas of teaching, scholarship, and service are expected of  
25 faculty for promotion to associate professor with tenure. In the evaluation of untenured associate  
26 professors for tenure, the same criteria apply, along with any others established in writing at the time a  
27 senior rank appointment without tenure was offered.

## 28 29 **Teaching**

30  
31 Effective teaching will be judged according to the following criteria: command of a subject; continuous  
32 growth in the candidate's fields of expertise; ability to organize material and to present it with logic and  
33 conviction at both the undergraduate and graduate levels; objectivity, tolerance, and appreciation of  
34 diversity; professional interest in students, both in and outside the classroom; development of new courses  
35 or curricula; advising students, supervising theses and dissertations, and serving as a member of  
36 candidacy and doctoral examination committees. The Committee will also consider any evidence that  
37 indicates the faculty member's ability to awaken in students an awareness of the relationship of their  
38 subject(s) to other fields of knowledge, as well as the ability to arouse curiosity in students.

39  
40 Teaching excellence is to be measured primarily by means of the Department's Student Reports on  
41 Teaching (SRT) forms, the tabulated results of the Student Evaluation of Instructor (SEI) forms and peer  
42 evaluations. In accordance with Department and College policies, all courses taught by faculty at all ranks  
43 must be evaluated by means of the SRT and SEI instruments, which are to be administered by someone  
44 other than the instructor.

45  
46 The Chair of the Committee of the Eligible Faculty will be responsible for selecting peer reviewers for the  
47 candidate.

48  
49 The Chair and those charged with conducting the annual and promotion-and-tenure reviews will have  
50 access to these documents and to any additional documentation (e.g., a statement on teaching philosophy  
51 and objectives) that may be helpful in conducting the review.

1  
2 Faculty members will be responsible for making any discursive student evaluations that they use available  
3 to the Department. Such instruments will be retained in the departmental files for use in annual reviews  
4 and promotion-and-tenure deliberations.  
5

## 6 **Scholarship**

7

8 Scholarship is central to the mission of the Department: it leads to better teaching, to innovation in the  
9 continuing review of the curriculum, and to the professional growth of the faculty. Accordingly, any  
10 departmental recommendations for the promotion of a candidate to the rank of Associate Professor with  
11 tenure must be based on convincing evidence that the candidate has achieved excellence and recognition  
12 in this area, as is appropriate to faculty at a major research institution; that the candidate has taken an  
13 active role in the community of scholars by publications, regular conference participation, and other  
14 professional activities; and that the candidate can be expected to continue to develop a program of high-  
15 quality scholarship relevant to the mission of the Department.  
16

17 Scholarship may take various forms, but all of them should have a clear relation to the Department's  
18 mission. Some scholarship may emphasize the generation or reinterpretation of knowledge; other  
19 scholarship may introduce new approaches or apply existing approaches to a new body of material; still  
20 other scholarship may emphasize more pedagogical concerns and incorporate theoretical advances in  
21 methods of teaching and/or language acquisition or apply technology in innovative and creative ways.  
22

23 In evaluating scholarly and creative work, the kind, scope, and quality of each publication will be  
24 considered. In general, monographic and comprehensive works (books, monographs, articles, etc.) based  
25 on original research will be attributed the highest value when published in high-quality venues, especially  
26 when peer-reviewed. The Committee recognizes that publications in our field will frequently be written in  
27 languages other than English and printed in journals or by presses outside the USA. Here as elsewhere,  
28 the quality of the journal, series, press, or volume in which the work is published will be carefully  
29 assessed.  
30

31 In recommending Assistant Professors in the fields of literature and cultural studies for promotion and  
32 tenure, the typical expectation is a book (either published or under board-approved contract and in  
33 production), as well as other evidence of scholarly productivity in the form of refereed journal articles  
34 and/or book chapters and conference papers. In the other fields, similar evidence of scholarly  
35 productivity is expected, and the publication of a book is highly desirable. However, for candidates in  
36 linguistics, the publication of a series of substantive refereed articles may be judged to represent work and  
37 accomplishment comparable to the publication of a book in other fields. The same is true in language  
38 methodology/ pedagogy, where the publication of innovative textbooks or instructional software that  
39 incorporate or present theoretical ideas or advances in methods of teaching may be judged to be  
40 equivalent to monographic works when accompanied by theoretical articles published in high-quality  
41 refereed journals; and in philology, where the publication of editions of texts with critical apparatus may  
42 be given considerable weight as evidence of scholarly productivity.  
43

44 By themselves, edited journals and other collections, translations with scholarly apparatus, bibliographies,  
45 and reviews, notes and other short pieces are normally insufficient to constitute grounds for promotion to  
46 associate professor with tenure, although such works in combination with original research may provide  
47 evidence of scholarly excellence, as may the winning of grants in national and international competitions.  
48

49 In evaluating scholarly achievement, the Department will consider both quality and quantity. The  
50 principal measure of scholarly productivity will be works that have already been published or that are  
51 under final, board-approved contract and in production. There must also be evidence that the Assistant



1 Professor will continue to make original and significant scholarly contributions in the future. Typically,  
2 this is provided by a consistent record of productivity beyond the Ph.D. dissertation and a well-articulated  
3 research agenda.

#### 4 5 **Service**

6  
7 For promotion to associate professor with tenure, a faculty member is expected to have:

- 8  
9 • made substantive contributions to the governance of the department in a manner that facilitates  
10 positive contributions by others  
11 • demonstrated the potential for useful contributions to the profession  
12

#### 13 14 **2 Promotion to Professor**

15  
16 Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-02.html>) establishes the  
17 following general criteria for promotion to the rank of professor:  
18

19 *Promotion to the rank of professor must be based on convincing evidence that the faculty member*  
20 *has a sustained record of excellence in teaching; has produced a significant body of scholarship*  
21 *that is recognized nationally or internationally; and has demonstrated leadership in service.*  
22

23 Promotion to professor in the College of Arts and Sciences takes the pursuit of scholarly excellence as its  
24 core value. The College also recognizes that a career may consist of various phases in which a  
25 concentration on scholarly activity, teaching, or administrative/professional service creates a composite  
26 professional life. Promotion to full professor typically requires excellence in scholarship. Where a  
27 candidate has made truly extraordinary contributions in the areas of teaching or service, that record may  
28 warrant promotion in combination with a less extensive, though excellent record of continued  
29 productivity in scholarship. Excellence in scholarship means attainment of measurable national or  
30 international recognition based on an appropriate amount and rate of high quality published research  
31 and/or other relevant creative endeavors. A successful candidate will have achieved national distinction as  
32 a scholar and have an emerging international reputation. Excellence in teaching means the provision to all  
33 students of the opportunity to realize their full capabilities for learning and, to the most capable and  
34 motivated students, an enhanced learning experience. It can be measured by the attainment of national or  
35 international recognition, as evidenced by pedagogical publications, awards, honors, and/or critical  
36 student outcomes. Excellence in service means the provision of a high level of professional expertise and  
37 experience to one or more publics – including the university, the Columbus community, the State of Ohio,  
38 the nation, and professional organizations. External hires at the associate or full professor level with  
39 tenure will demonstrate the same accomplishments in scholarship, teaching and service as persons  
40 promoted within the university. For all, the substantial probability that a high rate of quality scholarship  
41 and/or excellence in teaching and service will continue needs to be established. The claim that retention  
42 of the candidate will improve the overall quality and standing of the unit needs to be supported.  
43

44 Excellence in teaching may be demonstrated through success in developing student interests in the subject  
45 area(s), effectiveness in conveying to students the essentials of the subject(s) taught, and a willingness to  
46 demand of students clear evidence of intellectual growth. Wherever appropriate and in accord with  
47 teaching assignments, attention should be given not only to a faculty member's involvement in graduate  
48 students' M.A. or Ph.D. examinations or preparation of theses or dissertations and undergraduate honors  
49 theses, but also to his/her availability and effectiveness as a formal or informal advisor. To the extent  
50 possible and feasible, the Department should also attach importance to the determinable progress and  
51 success of students under a faculty member's guidance and direction—both during and following their

1 graduate careers—to evaluate the faculty member’s contribution (as mentor, advisor, recommender,  
2 advocate, etc.) to that progress and success.

3  
4 A candidate for promotion to the rank of Professor is expected to present substantial publication beyond  
5 that which earned promotion to the rank of Associate Professor. In the fields of literature and cultural  
6 studies, this will typically mean that the candidate has a second book published or under final board-  
7 approved contract and in production, or a extensive and sustained body of writing on a specific topic or  
8 area. A candidate must have articles, book chapters, edited work, and conference papers beyond those  
9 considered for promotion to the rank of Associate Professor. A comparable level of accomplishment will  
10 be expected of candidates in linguistics, language methodology/ pedagogy, and philology; however, in  
11 these fields an additional series of substantive articles may be weighed as an equivalent of the book  
12 expected in other fields. Candidates must continue to show other evidence of additional scholarly  
13 productivity in the form of articles in major refereed journals, presentations at scholarly meetings, and the  
14 gaining of or efforts to gain outside funding for research.

15  
16 A candidate for promotion to Professor must also demonstrate leadership in service appropriate to the  
17 rank of Professor at a major research institution. This includes guidance of student research, effective  
18 service on departmental committees, service on College and University committees, and service beyond  
19 the University—such as work with professional organizations in the candidate’s field; professional  
20 consultantships for foundations, universities, scholarly organizations and publishers; and service as an  
21 external reviewer for faculty members at other universities.

22  
23 When assessing a candidate’s national and international reputation in the field, a national and  
24 international reputation for the scholarship of teaching may be counted as either teaching or scholarship.

25  
26 In addition, as further specified by Faculty Rule 3335-6-02, assessment is in relation to specific assigned  
27 responsibilities with reasonable flexibility being exercised in order to balance, where the case requires,  
28 heavier responsibilities and commitment in one area against lighter ones in another.

29  
30 In the evaluation of untenured professors for tenure, the same criteria apply, along with any others  
31 established in writing at the time a senior rank appointment without tenure was offered.

### 32 33 **3 Regional Campus Faculty**

34  
35 The primary function of the regional campuses is to provide high-quality undergraduate instruction and to  
36 serve the academic needs of their communities. With this consideration in mind, in evaluating regional  
37 campus faculty for promotion and tenure or promotion, the department will give greater emphasis to the  
38 quality of teaching and service relative to scholarship. Recognizing that the character and quantity of  
39 scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the  
40 weight of other responsibilities and lack of access to comparable resources, the department nevertheless  
41 expects regional campus faculty to establish a program of high-quality scholarly activity.

### 42 43 **B Procedures**

44  
45 The department's procedures for promotion and tenure and promotion reviews are fully consistent with  
46 those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-04.html>) and the Office Academic Affairs annually updated procedural guidelines for promotion and  
47 tenure reviews found in Volume 3 of the Policies and Procedures Handbook  
48 (<http://oaa.osu.edu/handbook.html>). The following sections, which state the responsibilities of each party  
49 to the review process, apply to all faculty members in the department.  
50  
51

1 **1 Candidate Responsibilities**

2  
3 Candidates are responsible for submitting a complete, accurate dossier fully consistent with Office of  
4 Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate  
5 Checklist without ascertaining that they have fully met the requirements set forth in the Office of  
6 Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.  
7

8 If external evaluations are required, candidates are responsible for reviewing the list of potential external  
9 evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate  
10 may add no more than three additional names, but is not required to do so. The candidate may request the  
11 removal of no more than two names, providing the reasons for the request. The department chair decides  
12 whether removal is justified. (Also see External Evaluations below.)  
13

14 **2 Committee of the Eligible Faculty Responsibilities**

15  
16 The responsibilities of the Promotion and Tenure Committee are as follows:  
17

- 18 • To review this document annually and to recommend proposed revisions to the faculty.
- 19  
20 • To consider annually, in spring semester, requests from faculty members seeking a non-  
21 mandatory review in the following academic year and to decide whether it is appropriate for such  
22 a review to take place. Only professors on the committee may consider promotion review  
23 requests to the rank of professor. A two-thirds majority of those eligible to vote on a request  
24 must vote affirmatively for the review to proceed.  
25
  - 26 ○ The committee bases its decision on assessment of the record as presented in the faculty  
27 member's CV and on a determination of the availability of all required documentation for  
28 a full review (student and peer evaluations of teaching). Lack of the required  
29 documentation is necessary and sufficient grounds on which to deny a non-mandatory  
30 review.
  - 31  
32 ○ A tenured faculty member may only be denied a formal promotion review under Faculty  
33 Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-04.html>) for one  
34 year. If the denial is based on lack of required documentation and the faculty member  
35 insists that the review go forward in the following year despite incomplete  
36 documentation, the individual should be advised that such a review is unlikely to be  
37 successful.
  - 38  
39 ○ Consistent with Office of Academic Affairs policy, only faculty members who are  
40 citizens or permanent residents of the United States may be considered for non-  
41 mandatory tenure review. The committee must confirm with the department chair that an  
42 untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or  
43 permanent resident (has a "green card"). Faculty members not eligible for tenure due to  
44 lack of citizenship or permanent residency are moreover not considered for promotion by  
45 this department.
  - 46  
47 ○ A decision by the committee to permit a review to take place in no way commits the  
48 eligible faculty, the department chair, or any other party to the review to making a  
49 positive recommendation during the review itself.  
50

- 1 • Annually, in late spring through early autumn semester, to provide administrative support for the  
2 promotion and tenure review process as described below.  
3
  - 4 ○ **Late Spring:** Select from among its members a Procedures Oversight Designee who will  
5 serve in this role for the following year. The Procedures Oversight Designee cannot be  
6 the same individual who chairs the committee. The Procedures Oversight Designee's  
7 responsibilities are described in the Office of Academic Affairs annual procedural  
8 guidelines.  
9
  - 10 ○ **Late Spring:** Suggest names of external evaluators to the department chair.  
11
  - 12 ○ **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including  
13 citations), and consistency with Office of Academic Affairs requirements; and work with  
14 candidates to assure that needed revisions are made in the dossier before the formal  
15 review process begins.  
16
  - 17 ○ Meet with each candidate for clarification as necessary and to provide the candidate an  
18 opportunity to comment on his or her dossier. This meeting is not an occasion to debate  
19 the candidate's record.  
20
  - 21 ○ Draft an analysis of the candidate's performance in teaching, scholarship and service to  
22 provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent  
23 evidence in the case, where possible. The committee neither votes on cases nor takes a  
24 position in presenting its analysis of the record.  
25
  - 26 ○ Revise the draft analysis of each case following the faculty meeting, to include the  
27 faculty vote and a summary of the faculty perspectives expressed during the meeting; and  
28 forward the completed written evaluation and recommendation to the department chair.  
29
  - 30 ○ Provide a written response, on behalf of the eligible faculty, to any candidate comments  
31 that warrant response, for inclusion in the dossier.  
32
  - 33 ○ Provide a written evaluation and recommendation to the department chair in the case of  
34 joint appointees whose tenure-initiating unit is another department. The full eligible  
35 faculty does not vote on these cases since the department's recommendation must be  
36 provided to the other tenure-initiating unit substantially earlier than the committee begins  
37 meeting on this department's cases.  
38  
39
- 40 • To review thoroughly and objectively every candidate's dossier in advance of the meeting at  
41 which the candidate's case will be discussed.  
42
- 43 • To attend all eligible faculty meetings except when circumstances beyond one's control prevent  
44 attendance; to participate in discussion of every case; and to vote.  
45

### 46 **3 Department Chair Responsibilities**

47  
48 The responsibilities of the department chair are as follows:  
49

- 1 • Where relevant, to verify the prospective candidate's residency status. Faculty members who are  
2 neither citizens nor permanent residents of the United States may not undergo a non-mandatory  
3 review for tenure, and tenure will not be awarded as the result of a mandatory review until  
4 permanent residency status is established. Faculty members not eligible for tenure due to lack of  
5 citizenship or permanent residency are moreover not considered for promotion by this  
6 department.  
7
- 8 • **Late Spring Semester:** To solicit external evaluations from a list including names suggested by  
9 the Promotion and Tenure Committee, the chair and the candidate. (Also see External  
10 Evaluations below.)  
11
- 12 • To make adequate copies of each candidate's dossier available in an accessible place for review  
13 by the eligible faculty at least two weeks before the meeting at which specific cases are to be  
14 discussed and voted.  
15
- 16 • To remove any member of the eligible faculty from the review of a candidate when the member  
17 has a conflict of interest but does not voluntarily withdraw from the review.  
18
- 19 • To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed  
20 and respond to questions raised during the meeting.  
21
- 22 • **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for  
23 each candidate, following receipt of the eligible faculty's completed evaluation and  
24 recommendation.  
25
- 26 • To meet with the eligible faculty to explain any recommendations contrary to the  
27 recommendation of the committee.  
28
- 29 • To inform each candidate in writing after completion of the department review process:  
30
- 31 ○ of the recommendations by the eligible faculty and department chair
  - 32
  - 33 ○ of the availability for review of the written evaluations by the eligible faculty and  
34 department chair
  - 35
  - 36 ○ of the opportunity to submit written comments on the above material, within ten days  
37 from receipt of the letter from the department chair, for inclusion in the dossier. The letter  
38 is accompanied by a form that the candidate returns to the department chair, indicating  
39 whether or not he or she expects to submit comments.  
40
- 41 • To provide a written response to any candidate comments that warrants response for inclusion in  
42 the dossier.  
43
- 44 • To forward the completed dossier to the college office by that office's deadline, except in the case  
45 of associated faculty for whom the department chair recommends against promotion. A negative  
46 recommendation by the department chair is final in such cases.  
47
- 48 • To receive the Promotion and Tenure Committee's written evaluation and recommendation of  
49 candidates who are joint appointees from other tenure-initiating units, and to forward this

1 material, along with the department chair's independent written evaluation and recommendation,  
2 to the department chair of the other tenure-initiating unit by the date requested.  
3

#### 4 **4 Procedures for Regional Campus Faculty**

5  
6 Regional campus faculty are first reviewed by the regional campus faculty according to the process  
7 established on that campus and then by the regional campus dean/director. The regional campus review  
8 focuses on teaching and service.  
9

10 The regional campus dean/director forwards the written evaluation and recommendation of the regional  
11 campus review to the department chair, from which point the review follows the procedures described for  
12 the Columbus campus faculty.  
13

#### 14 **5 External Evaluations**

15  
16 External evaluations of scholarly activity and research are obtained for all promotion reviews in which  
17 scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews  
18 and all adjunct faculty promotion reviews.  
19

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

- 21  
22 • Is written by a person highly qualified to judge the candidate's scholarship (or other performance,  
23 if relevant) who can give an “arms’ length” evaluation of the research record and is not a close  
24 personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the  
25 candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of  
26 accomplishments, and institutional affiliation. This department will only solicit evaluations from  
27 full professors at institutions comparable to Ohio State. In the case of an assistant professor  
28 seeking promotion to associate professor with tenure, a minority of the evaluations may come  
29 from associate professors.  
30
- 31 • Provides sufficient analysis of the candidate's performance to add information to the review. A  
32 letter's usefulness is defined as the extent to which the letter is analytical as opposed to  
33 perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an  
34 evaluator on the merits of the case.  
35

36 Since the department cannot control who agrees to write and or the usefulness of the letters received,  
37 more letters are sought than are required, and they are solicited no later than the end of the spring  
38 semester prior to the review year. This timing allows additional letters to be requested should fewer than  
39 five useful letters result from the first round of requests.  
40

41 As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee,  
42 the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for  
43 credibility, a letter is requested from at least one of those persons. Faculty Rule 3335-6-04  
44 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-04.html>) requires that no more than half the  
45 external evaluation letters in the dossier be written by persons suggested by the candidate. In the event  
46 that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs  
47 nor this department requires that the dossier contain letters from evaluators suggested by the candidate.  
48

49 The department follows the Office of Academic Affairs suggested format, provided at  
50 <http://oaa.osu.edu/sampledocuments.html>, for letters requesting external evaluations.  
51

1 Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with  
2 external evaluators for any purpose related to the promotion review. If an external evaluator should  
3 initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such  
4 communication is inappropriate and report the occurrence to the department chair, who will decide what,  
5 if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that  
6 letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural  
7 lapse, or the appearance of such a lapse, in the course of the review process.  
8

9 All solicited external evaluation letters that are received must be included in the dossier. If concerns arise  
10 about any of the letters received, these concerns may be addressed in the department's written evaluations  
11 or brought to the attention of the Office of Academic Affairs for advice.  
12

### 13 **C Documentation**

14  
15 As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate  
16 dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure  
17 Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate  
18 bears full responsibility for all parts of the dossier that are to be completed by the candidate.  
19

20 The complete dossier, including the documentation of teaching noted in bold below, is forwarded when  
21 the review moves beyond the department. The documentation of scholarship and service noted below is  
22 for use during the department review only, unless reviewers at the college and university levels  
23 specifically request it.  
24

- 25 • Any published materials presented for consideration should be in the form of reprints,  
26 photocopies of journal articles, or other final form that documents actual publication. An author's  
27 manuscript does not document publication.
- 28
- 29 • Under no circumstances should faculty solicit evaluations from any party for purposes of the  
30 review.  
31

### 32 **1 Teaching**

33  
34 The time period for material included in the dossier for probationary faculty is the date of hire to present.  
35 For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is  
36 less, to present. Examples of documentation include:  
37

- 38 • cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries  
39 prepared by the Office of the University Registrar) for every class
- 40 • departmental Student Reports on Teaching (SRT) forms
- 41 • peer evaluation of teaching reports
- 42 • Copies of pedagogical papers, books or other materials published, or accepted for  
43 publication. Material accepted for publication but not yet published must be accompanied by a  
44 letter from the publisher stating that the work has been unequivocally accepted and is in final  
45 form with no further revisions needed.
- 46 • teaching activities as listed in the core dossier including
  - 47 ○ involvement in graduate/professional exams, theses, and dissertations, and undergraduate
  - 48 research
  - 49 ○ mentoring postdoctoral scholars and researchers
  - 50 ○ extension and continuing education instruction

- 1           ○ involvement in curriculum development
- 2           ○ awards and formal recognition of teaching
- 3           ○ presentations on pedagogy and teaching at national and international conferences
- 4           ○ adoption of teaching materials at other colleges or universities
- 5       • other relevant documentation of teaching as appropriate

## 7 **2 Scholarship**

8  
9 The time period for material included in the dossier for probationary faculty is the date of hire to present.  
10 For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of  
11 documentation include:

- 13       • Copies of all books, articles, and scholarly papers published or accepted for publication. Papers  
14       accepted for publication but not yet published must be accompanied by a letter from the publisher  
15       stating that the paper has been unequivocally accepted and is in final form, with no further  
16       revisions needed.
- 17       • documentation of grants and contracts received
- 18       • other relevant documentation of research as appropriate (published reviews including publications  
19       where one's work is favorably cited, grants and contract proposals that have been submitted)
- 20       • scholarship activities as listed in the core dossier including
  - 21           ○ documentation of creative works pertinent to the candidate's professional focus including
  - 22           artwork, choreography, collections, compositions, curated exhibits, moving images,
  - 23           multimedia, performances, radio, recitals, recordings, television, and websites
  - 24           ○ documentation of inventions, patents, disclosures, options and commercial licenses
  - 25           ○ list of prizes and awards for research, scholarly, or creative work

## 26 27 **3 Service**

28  
29 The time period for material included in the dossier for probationary faculty is the date of hire to present.  
30 For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of  
31 documentation include:

- 33       • service activities as listed in the core dossier including
  - 34           ○ involvement with professional journals and professional societies
  - 35           ○ consultation activity with industry, education, or government
  - 36           ○ clinical services
  - 37           ○ administrative service to department
  - 38           ○ administrative service to college
  - 39           ○ administrative service to university and Student Life
  - 40           ○ advising to student groups and organizations
  - 41           ○ awards and prizes for service to profession, university, or department
- 42       • any available documentation (e.g. letters from committee chairs) of the quality of service that  
43       enhances the list of service activities in the dossier

## 44 45 **VIII Appeals**

46  
47 Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-05.html>) sets forth  
48 general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper  
49 evaluation are described in Faculty Rule 3335-5-05 ([http://trustees.osu.edu/rules/university-](http://trustees.osu.edu/rules/university-rules/rules5/ru5-05.html)  
50 [rules/rules5/ru5-05.html](http://trustees.osu.edu/rules/university-rules/rules5/ru5-05.html)).



1  
2 Disagreement with a negative decision is not grounds for appeal. In pursuing an appeal, the faculty  
3 member is required to document the failure of one or more parties to the review process to follow written  
4 policies and procedures.  
5

## 6 **IX Seventh-Year Reviews**

7

8 Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-05.html>) sets forth the  
9 conditions of and procedures for a Seventh Year Review for a faculty member denied tenure as a result of  
10 a sixth year (mandatory tenure) review.  
11

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

13

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

15

16 Use of the Student Evaluation of Instruction (eSEI) and the Student Reports on Teaching (SRT) is  
17 required in every course offered in this department. Faculty members should choose a day late in the  
18 semester when attendance is likely to be high if s/he is going to provide in-class time for students to  
19 complete the evaluation using a mobile application. The faculty member must leave the classroom during  
20 the time allotted for completing the evaluation. The faculty member should reiterate to students that the  
21 feedback provided in the evaluations is used both for performance reviews and to provide feedback that  
22 can be taken into account in future teaching.  
23

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

25

26 The Chair of the Committee of Eligible Faculty oversees the department's peer evaluation of teaching  
27 process. Reasonable efforts are made to distribute service among the tenured faculty in order to support  
28 and encourage attention to the quality of teaching in the department. Although there is no presumption  
29 that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a  
30 model will be followed to the extent possible.  
31

32 The responsibilities of the Committee with regard to peer evaluation of teaching are as follows:  
33

- 34 • to review the teaching of probationary tenure-track at least once per year during the first two  
35 years of service, and at least twice more during the remainder of the probationary period, with the  
36 goal of assessing teaching at all the levels of instruction to which the faculty member is assigned  
37
- 38 • to review the teaching of tenured associate professors at least once per year, with the goal of  
39 assessing teaching at all the levels of instruction to which the faculty member is assigned over a  
40 three year period  
41
- 42 • to review the teaching of tenured professors at least once every four years with the goal of  
43 assessing teaching at all the levels of instruction to which the faculty member is assigned during  
44 the year of the review  
45
- 46 • To review, upon the department chair's request, the teaching of any faculty member not currently  
47 scheduled for review. Such reviews are normally triggered by low or declining student  
48 evaluations or other evidence of the need for providing assistance in improving teaching.  
49

- 1       • To review the teaching of a faculty member not currently scheduled for review, upon that  
2 individual's request, to the extent that time permits. Reviews conducted at the request of the  
3 faculty member are considered formative only. The department chair is informed that the review  
4 took place, but the report is given only to the faculty member who requested the review. Faculty  
5 seeking formative reviews should also seek the services of the University Center for the  
6 Advancement of Teaching ([www.ucat.osu.edu](http://www.ucat.osu.edu)).  
7

8       Reviews conducted upon the request of the department chair or the faculty member focus on the specific  
9 aspects of instruction requested by the chair or faculty member and may or may not include class  
10 visitations  
11

12       Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive  
13 and should include, in addition to class visitation, review of course syllabi and related instruction  
14 materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation  
15 is conducted by one or more senior peers whom the promotion and tenure chair has identified in  
16 consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for  
17 the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the  
18 peer reviewer should attend two different class sessions over the course of the semester.  
19

20       In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on  
21 such issues as the appropriateness of the course design given the goals and level of the course, the quality  
22 and effectiveness of the instructional materials and assessment tools, and the appropriateness of the  
23 approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer  
24 meets with the candidate to give feedback and also submits a written report to the department chair,  
25 copied to the candidate. The candidate may provide written comments on this report and the reviewer  
26 may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.

## Appendix A

### Department of Germanic Languages and Literatures Annual Faculty Report

Name \_\_\_\_\_ Calendar Year \_\_\_\_\_

#### I. Courses Taught

	Course number, title and number of students
SP	
SU	
AU	

Comments:

**II. Scholarship** (Please give complete bibliographical details; attach additional pages(s) if necessary; include items officially accepted for publication in the calendar year that have not yet appeared; with the one exception of category K, list only work that appeared, was accepted, or was undertaken in the year previous to the calendar year of this report).

A. Books:

B. Edited Volumes:

C. Journals Edited:

D. Articles and Essays:

- E. Book Reviews:
  
- F. Invited Lectures:
  
- G. Panels and Papers (give title of panel or paper, sponsoring organization, location of meeting, and month):
  
- H. Research in Progress (be as specific as necessary to convey the theme, nature, and envisioned result of your work; what precisely was accomplished in the calendar year):
  
- I. Evaluation of Scholarship (reading scholarly manuscripts; contributing editor, editorial board, external P&T reader):
  
- J. Other:
  
- K. List here books that appeared in the year previous to the calendar year of this report:

Comments:

### **III. Involvement with Graduate Students and Undergraduate Honors Students**

- A. Dissertation Advising
  - (1) Completed (give name of student, title, and month of completion):
  
  - (2) In Progress (give name of student and topic or title):
  
- B. Dissertation Committees
  - (1) Completed (give name of student, title, and month of completion):

(2) In Progress (give name of student and topic or title):

C. M.A. Thesis Committees

(1) Completed (give name of student, title, and month of completion; asterisk those where you served as chairperson):

(2) In Progress (give name of student and topic or title; asterisk those where you are serving as chairperson):

D. Honors Thesis Committees

(1) Completed (give name of student, title, and month of completion; asterisk those where you served as chairperson):

(2) In Progress (give name of student and topic or title; asterisk those where you are serving as chairperson):

E. Departmental Candidacy Examination Committee(s) (indicate name of student, month, and asterisk those where you served as chairperson):

F. Master's Examination Committee(s) (indicate name of student, month, and asterisk those where you served as chairperson):

G. Graduate School Representative at Candidacy Examinations in other departments (indicate name of student, department, and month):

Comments:

**IV. Offices Held and Committee Assignments**

- A. Department:
  
- B. College of Humanities:
  
- C. University:
  
- D. Profession:

Comments (note any especially time-consuming committee assignments and briefly describe what was involved):

**V. Grant Proposals (list title of proposal; name of agency or award; and amount of funding sought or received):**

- A. Awarded:
  
- B. Submitted (give date(s)):

Comments:

**VI. Recognitions, Honors, and Awards Received:**