

APPOINTMENTS, PROMOTION, AND TENURE DOCUMENT

Criteria and Procedures of the Department of Near Eastern Languages and Cultures

(Revised March 2, 2004)

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OFFICE OF ACADEMIC AFFAIRS

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1. Preamble

The following guidelines—mandated by Faculty Rule 3335-47-02(E)—are supplementary to the following University and College documents: Chapter 47 of the Rules of the University Faculty (additional Rules Concerning Faculty Appointments, Reappointments, Promotion, and Tenure), the annually distributed Office of Academic Affairs Guidelines and Procedures for the Promotion and Tenure of Regular Faculty and for the Promotion of Regular Clinical and Auxiliary Faculty Appointments, Promotion, and Tenure: Criteria and Procedure for the College of Humanities. Should those rules and policies change, the Department shall follow those new rules and policies until such time as it can update this document to reflect the changes. Copies of all relevant documents will be made available to every new or continuing regular faculty member (at the level of Instructor or above), together with such additions, amendments, and/or revisions as might subsequently be issued.

This document must be approved by the Dean of the College and the Provost of the University before it can be implemented. It sets forth the Department's mission and, in the context of that mission and the missions of the College and University, its criteria and procedures for faculty appointments, and for faculty promotion, tenure and rewards including salary increases. In approving this document the Dean and Provost accept the mission and criteria of the Department and delegate to it the responsibility to apply high standards in evaluating continuing faculty and candidates for positions in relation to its mission and criteria. This document must be reviewed and either reaffirmed or revised at least every four years on appointment or reappointment of the Department Chair.

Faculty members are urged to familiarize themselves with this document and the documents to which it is supplementary—especially the principles articulated in Faculty Rule 3335-47.01 General considerations.

2. Department Mission

NELC's mission may be described as follows:

- A. At the lower division undergraduate level, our mission is both to provide a basic grounding in the languages offered and to afford to students a general knowledge of cultures and world views of societies often quite different and distant from their own.
- B. The process of introducing students to culture groups as well as languages is continued in the 200- and 300-level course offerings, where students study in English-language courses, the societies, cultures, and literatures of the Near East. Seeking to avoid artificially separating and isolating each language, we introduce, beginning at the 200-level, courses that study the interrelationships over time among the several languages and literatures we offer. In addition, we are committed to furthering the development of analytical and communicative skills by encouraging directed class discussion and by incorporating substantial writing components into each of these courses.
- C. Advanced undergraduate instruction emphasizes oral and written expression in the language(s) of choice as well as solid familiarity with historical and cultural contexts: literary, linguistic, religious and philosophical. Travel to the region under study is encouraged and supported. Such a course of training constitutes excellent preparation for careers in the teaching of language, literature, and cultural studies at the high school and college levels, for careers in international business, law or journalism, and for work in fields such as communications, translation, and foreign service.

- D. At the graduate level, the Department sees its mission as assisting scholars in developing an in-depth understanding of their chosen field, by guiding them to mastery of a substantial body of written work in those languages and of complex structures and modes of language and discourse. This understanding will be complemented and reinforced by our offering a thorough grounding in contemporary theoretical and practical approaches to our fields. At the same time, we recognize pedagogy as a field of research as important as other topical research and writing and are committed to teaching language pedagogy. The inclusion of courses in folklore, language pedagogy, literary/critical theory, literature, linguistics, and cultural history reflects our shared commitment to offer a comprehensive academic program.

We want a curriculum that attends no only to the cultural and social roots of each individual language but to interrelationships over time among languages and the people who speak them. Thus, we are working toward graduate programs that require work in more than one language and require the conceptual knitting together of at least two linguistic and cultural traditions. Similarly, we are committed to an interdisciplinary approach to the teaching and analysis of languages and literatures in cultural context. Finally, recognizing that our fields have long been and continue to be objects of extensive and important international research, we expect our graduate students to prepare themselves to deal critically and conscientiously with a wide range of secondary scholarship in languages other than English and their chosen language(s) of concentration. At the graduate level, then, we aim to accomplish our mission no only through our own research endeavors but by fostering original research by our graduate students, guiding them in the publication of these efforts and otherwise preparing them for fruitful academic careers in this country and abroad.

- E. As a community of scholars and teachers engaged in our individual, collaborative, and collective research, our faculty aims to recognize, develop, and achieve new scholarly insights into the study and teaching of our chosen languages, literatures, and cultures—insights that can only take place within a broad spectrum of disciplines. Through this receptivity and alertness to new theoretical approaches to language and literature in society, we expect both to contribute to the overall body of knowledge about the languages we teach and the regions where they are spoken, written, read, and celebrated and to contribute to the study and theory of language, literature, and culture in general.
- F. In addition to the goals above, NELC seeks the development of community and international links, particularly in the fields of educating the public and in university-public exchange of ideas. The Department provides summer institutes in language pedagogy and in language and culture for continuing education students, and we promote the teaching of our languages in Ohio high schools. We also see it as part of our mission to serve as a resource for communication with foreign institutions, dignitaries, and scholars.

3. Appointments

A. Criteria

(1) Tenure-track faculty: criteria and probationary period

a. Criteria

- i. Appointment decisions for regular faculty positions must be based on criteria that reflect strong potential to attain tenure and advance through the faculty ranks. The Department commits itself to making only faculty appointments that enhance or have strong potential to enhance its quality in every way.
- ii. A minimum requirement for appointment at or promotion to the rank of assistant professor or a higher rank is an earned doctorate or other terminal degree in a field of study relevant to interdisciplinary interests covered by the various programs and the language and culture areas represented within the Department. In extraordinary circumstance possession of equivalent relevant experience may be taken into consideration.
- iii. Appointments at the rank of instructor will normally be made only when the offered appointment is that of assistant professor, but the appointee has no completed the required terminal degree at the onset of the appointment with compelling evidence of likelihood of completion by the beginning of the second year of appointment.
- iv. Specific criteria for particular positions as they become available in the Department will be determined, in some cases, by the language and culture program within which they fall or, in other cases, by a duly appointed search committee, or sometimes by both, but always with the approval of the Departmental Council, the Chair of the Department, and the Dean of the College.

b. Probationary period

i. Appointment as professor or associate professor

An appointment as professor or associate professor will generally entail tenure. However, a probationary period not to exceed four years may be granted by the Office of Academic Affairs upon petition of the tenure-initiating unit and college. For the petition to be approved, a compelling rationale must be provided regarding why appointment at a senior rank is appropriate but tenure is not. All appointments to the rank of associate professor or professor require prior approval of the Provost.

ii. Appointment as assistant professor

An appointment to the rank of assistant professor is always probationary and may not exceed six years, including prior service credit. As assistant professor is reviewed for promotion and tenure no later than the sixth year of appointment as an assistant professor and informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year.

iii. Appointment to instructor

An appointment to the rank of instructor is always probationary and may not exceed three years. An instructor must be approved for promotion to assistant professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year.

When an instructor is promoted to the rank of assistant professor, prior service credit will be granted to time spent as an instructor unless the faculty member indicates in writing at the time of the promotion that he or she does not wish such credit. This written request must be forwarded to the Office of Academic Affairs through the Dean of the College so that tenure records may be adjusted accordingly.

(2) Auxiliary Faculty

a. Visiting faculty appointments

- i. Visiting appointments will usually be made to meet specific perceived short-term departmental or programmatic needs or to provide students and other faculty members with an opportunity to encounter eminent scholars in areas relevant to the Department's fields of interest.
- ii. As a rule, visiting faculty members will be selected and appointed in accordance with the same criteria that obtain in the selection and appointment of regular faculty members. However, the Department will not hire any candidate for a visiting faculty position who does not already hold an earned doctorate in a relevant field of study.
- iii. In general, term appointments will be considered consistent with the policy and best interests of the Department. University rules stipulate that visiting appointments can be for no more than three years.

b. Lecturers

Criteria and procedures for appointment and review of lecturers in the Department will be set forth in a separate policy document to be provided to all lecturers on appointment.

(3) Courtesy Appointments

Regular faculty members at The Ohio State University may be appointed as courtesy faculty members in the Department. A courtesy appointment should be minimally based on an expectation of the appointee's substantial involvement in the Department. The courtesy faculty member will normally have research and teaching excellence in areas of interest to the Department, but not currently covered by a regular faculty member of the Department. Unlike auxiliary appointments, courtesy appointments do not require formal annual renewal.

B. Procedures

(1) Tenure track faculty

- a. When a regular faculty position becomes open in NELC, the Chair shall appoint an ad hoc Search Committee for that position, consisting of no fewer than three members from NELC, and no more than two members from allied departments. (The Chair of NELC may serve as a member of the Search Committee.)

- b. The Search Committee shall

- i. Draft a description of the position to be filled;
 - ii. Submit it to the Chair for preliminary approval
 - iii. Circulate it to all regular Faculty members for comment and amendment; and
- iii. Present the final description to the Departmental Council for approval by a vote in a regular or special meeting, after which the Chair will forward it to the Dean of the College for approval.
- c. Normal procedures for advertising a position, setting deadlines, soliciting, and collecting dossiers are them to be followed. A national search is required unless OAA approves an exception to this policy.
- d. When the deadline has been reached,
 - i. dossiers of all candidates shall be prepared by the chair of the Search Committee, and copies made available to each member of the Committee, with one set of copies to be retained by the Fiscal/Human Resources Officer for review by member of the regular faculty.
 - ii. a meeting of the Search Committee shall be convened at a date and time announced in advance to the entire faculty, who are urged to examine the dossiers and make known to the Committee members, their views on any or all of the candidates before the announced meeting;
 - iii. at its meeting the Committee, after careful deliberation of the merits of each candidate whose dossier is submitted and complete and due consideration of such views of other faculty members as have been made known, shall determine a "short list" consisting, ideally, of no fewer than three candidates, at least one of whom would contribute to the diversity of the unit. If the search committee judges that in the pool of candidates there is no such qualified person, it will explain to the faculty in a meeting its efforts to attract a diverse pool of applicants and will describe the pool of applicants and the pool of finalists before asking the faculty to vote on inviting the finalists to campus for an interview, and
 - iv. the names of the candidates on this "short list" are to be submitted to the Chair of the Department, who shall
 - (i) make them known to the entire regular faculty;
 - (ii) provide for their dossiers to be reviewed by each regular faculty member; and
 - (iii) decide on arrangements for interviewing the "short-listed" candidates.
- e. To the extent possible and feasible, it is desirable that candidates be interviewed in person on campus and be requested to delivery publicly a formal or informal presentation on a topic related to their areas of specialization and expertise. If such cannot be done, a conference telephone interview is to be conducted by the Search Committee, to which regular faculty members are invited.

- f. When all "short-listed" candidates have been interviewed,
 - i. the Search Committee shall convene, deliberate, and rank order the candidates;
 - ii. the Chair shall convene a special meeting of the entire regular faculty, at which the recommendations of the Search Committee will be presented and discussed;
 - iii. after due deliberation, those faculty members who have reviewed the candidates' dossiers shall vote on the candidates in a confidential ballot;
 - iv. the candidate receiving two-thirds of the votes shall be recommended to the chair as the Department's choice for the position. If the top candidate receives more than half but less than two-thirds of the votes, the faculty will vote again on the single top candidate. If this candidate still receives less than two-thirds of the votes, the chair, in consultation with the dean, will decide whether to make an offer to the top-ranked candidate on the basis of a simple majority or to end the search and begin again. If the chair decides to make an offer, she or he will write a letter of explanation of the circumstances to the faculty with a copy to be sent to the dean. A two-thirds vote is normally expected before the chair can recommend the appointment to the dean.
- g. The Chair of NELC and the Dean of the College shall be responsible for conducting all negotiations and contractual matters leading to the appointment.
- h. Should the preferred candidate be unavailable to fill the position, the Department's second choice shall be recommended to the Chair, unless circumstances dictate that new procedures be instated.
 - i. At all times, the procedures shall be conducted in accordance with the dictates of academic freedom and integrity, and confidentiality in conformity with the provisions of the Ohio Public Records Act, the University rules of Equal Opportunity and Affirmative Action.

(2) Auxiliary faculty

- a. Visiting and Term Faculty Appointments
 - i. When a visiting faculty position is to be filled, the procedures set forth in 3.B(1).a-c & d.i-iii, are to be followed.
 - ii. The Search Committee shall rank-order the "short-listed" candidates and submit their recommendations to the Chair.
 - iii. At this point, the procedures set forth in 3.B (1) g-i are to be followed

b. Lecturers

See 3.A(2)b, above.

(3) Courtesy appointments

A faculty member from an outside department at The Ohio State University with a teaching and/or research interest falling within the purview of the Department may be appointed as a courtesy faculty member. Upon the recommendation of one or more faculty members in the Department, or upon the request of the external faculty member, he/she will be nominated by the Chair of the Department to serve as a courtesy faculty member, and the nomination will be ratified and the courtesy appointment extended upon a majority vote of the Departmental Council at a regular meeting.

4. Annual Reviews

A. General considerations

Every faculty member must have an annual performance review. For untenured faculty these reviews play a critical role in monitoring progress toward tenure and will be conducted by a properly constituted Committee for Reappointment, Promotion, and Tenure (CRPT; defined and described in Section 4.B(2).c, below). For all faculty the reviews serve as a basis for annual salary recommendations, for assisting faculty in developing and carrying out professional plans, and for calling attention to performance problems where they exist. The review letters are made available to each faculty member by the Chair prior to any salary recommendation to allow faculty to review, comment, and correct any errors of communication.

This section deals with review of faculty members not involving decisions on promotion and tenure or promotion. The specifics of reviews involving decisions on such matters will be set forth in Section 6; below. However, the procedural guidelines that follow here will obtain in all review situations, except where explicitly affected or modified by provisions in Section 6, below.

B. Procedures

(1) All faculty

- a. Annually, early in the Spring Quarter, every faculty member will provide the Chair with (1) an updated CV and (2) a written report of accomplishments in instruction, research or other scholarly or creative activity, and service covering the preceding four quarters. Guidelines for CV format and appropriate forms for the annual report will be made available through the Chair.
- b. Following the review process, however conducted, every faculty member—untenured and tenured—must receive written feedback regarding performance and future plans, including salary recommendation for the following year and a brief explanation for that recommendation. Further, Faculty Rule 3335-5-04 provides that, “At the time of their initial appointment and when they receive their annual review, faculty members shall be given notice of their right to review their personnel file maintained by the tenure initiating unit {i.e., the Department}.”
- c. Faculty members will be provided an opportunity to respond, in writing, to the

written assessment of their performance; and such responses will become part of their dossiers. Faculty Rule 3335-5-04 also provides that, "A member of the faculty may place in his or her primary personnel file a response to any evaluation, comment or other material contained in the file."

(2) Probationary tenure track faculty

a. General Considerations

During a probationary period a faculty member shall be reviewed annually with respect to the faculty member's performance in teaching, in scholarship, and in service, as well as to evidence of continuing development. External evaluations of the faculty member's work may be solicited for any annual review if judged appropriate by the Committee for Reappointment, Promotion, and Tenure and/or the Chair of the Department (see paragraph c, below). At the beginning of the first term of appointment and thereafter annually, the probationary faculty member will be informed, in writing and in a timely fashion, regarding the time of the review. The faculty member will also be provided with a copy of the Office of Academic Affairs dossier outline, essential to the review process. Prior to each review the faculty member will be invited to meet and consult with the Chair's Advisory Committee (see paragraph b, below) both in preparing the dossier and in other pertinent matters. Finally, the faculty member will be fully apprised in conference and in writing of the outcome of the review—all in accord with guidelines set forth specifically in Section 4.B(2).b, below, and elsewhere in this document. Every annual review letter—conveying a written assessment of the faculty member's performance and professional development, with attention to both strengths and weaknesses as appropriate, and a notice of reappointment if applicable—is to become a part of the faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure. Also to become part of the dossier are any of the probationary faculty member's written comments on and/or responses to the documents generated by the review (see Section 4B(2) g (i), below).

It is important that probationary faculty members and tenured faculty members be well aware that nonrenewal of an appointment can be appropriate following any annual review, through the fifth-year review, if the inadequacy of the probationary faculty member's record and./or professional development should become apparent. It is misleading to probationary faculty members and a poor use of the time and efforts of all parties to the review process to have a full-fledged review for promotion and tenure when it had become apparent at an earlier time that a positive recommendation for promotion and tenure would be unlikely.

As indicated in Section 1, Preamble, at the time of appointment, probationary faculty members shall be provided with all relevant documents detailing Department, College, and University promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary faculty members shall be provided with copies of the revised documents.

- b. Review Organization: Chair's Advisory Committee(CAC)
- i. Composition. (See Pattern of Departmental Administration, Section IV.A.1.a).
 - ii. The CAC shall meet as deemed necessary to carry out the activities hereinafter set forth. Its activities shall, in general, be directed toward advising and assisting the Chair and the faculty candidates in anticipation of annual, including fourth-year, and tenure and/or promotion reviews for the following year. In addition to activities specified in Section 4.B(2).d, below this committee shall:
 - (i) perform timely evaluation of annual faculty report accomplishments, teaching evaluations, updated CVs, and other evidence submitted by the faculty member for annual review;
 - (ii) identify the review status of non-tenured faculty candidates and consider the Chair possible candidacies for early tenure and promotion (Section 6.B(2).)
 - (iii) confer with probationary faculty members informally, during the Winter and Spring Quarters preceding their annual reviews, regarding their status and the current adequacy of their dossiers;
 - (iv) aid the chair of the Department and the CRPT, when appropriate, in finding and soliciting suitable outside evaluators of probationary faculty members' published or in-progress work; and
 - (v) deliberate with the Chairs of the CRPT (see next section) and of the Department on the question of extra-Departmental members of a probationary faculty member's properly constituted CRPT (see Section 4B(2).c.i, below)

- c. Review Organization: Committee for Reappointment, Promotion, and Tenure (CRPT)
- i. Composition. The properly constituted Committee that reviews annually and recommends a probationary faculty member for reappointment (and for promotion and tenure) shall consist of:

the Chair of the CRPT, who shall be a tenured faculty member appointed by the Chair of the Department;

the Chair of the Department (who shall not vote but who may participate in the deliberations as a regular tenured faculty

member, governed as they are governed by the rulings of the Chair of the CRPT); a Procedures Oversight Designee, selected by the Chair of the CRPT, to assure that the Committee follows written procedures governing its reviews, that the proceedings are carried out in a highly professional manner, and, in particular, that the proceedings are free of inappropriate comments or assumptions about member of underrepresented groups that could bias their review (for further details, see annually disseminated OAA procedural guidelines);

and all regular tenured faculty members of the Department:

(NB: For annual reviews of instructors, the properly constituted CRPT will include all regular faculty members at the rank of assistant professor and above.)

Due, however, to the diversity of competencies represented by individuals in the Department, it may at times be deemed necessary or desirable to include tenured members from other departments within the College of Humanities on committees considering reappointment beyond the fourth year and promotion and tenure. These non-Departmental committee members (whose number may vary from case to case) will, as far as possible and usually on an ad hoc basis, be appointed in consideration of the area(s) of specialization of the probationary faculty member under review. They shall be selected according to the same principle of rank operating within the Department and named in the letter sent to the probationary faculty member (see paragraph 4.B(2).d.iii, below). The Chair of the CRPT and the Chair of the Department (after consultation with the CAC {see 4B(2).b.ii(iv), above}) and the Dean of the College shall be solely responsible for selecting these outside members.

- ii. Functions. The properly constituted CRPT shall review the designated probationary faculty member in accordance with procedures set forth in the next Section. Each member of the Committee, except the Chair of the Department, shall exercise full voting rights in the review process, regardless of departmental affiliation.

Because of the centrality of peer review to the review process, all members of the CRPT have an obligation to participate fully and knowledgeably in every phase of the process that involves them, to observe and exercise the standards established in Faculty Rule 3335-47-02 and Section 6.A and 6.B(1), below, and to make negative recommendations when these are warranted to maintain and improve the quality of the faculty.

Recommendations by the CRPT will be accepted unless they are not supported by the evidence presented regarding how the probationary faculty member meets those standards. When, for the reasons just stated, a decision regarding faculty reappointment or promotion and tenure differs from the recommendations of the CRPT, the administrator or body making that decision will communicate in writing to the CRPT the reasons the recommendation was judged not to be supported by

the evidence (see Faculty Rule 3335-47-01 [A]).

It is also the responsibility of every member of the CRPT to ensure that the evaluation of probationary faculty members is conducted according to the highest professional standards and the evaluation is based only on matters pertinent to their performance as faculty members. Every member of the CRPT must accept personal responsibility for assuring that reviews are procedurally correct, fair, and free of bias for all faculty members. The primary role of the Procedures Oversight Designee is to remind members of the CRPT of their responsibilities in this regard and bring to their attention any procedural difficulties or other concerns about the review. If they cannot be resolved to the satisfaction of the Designee, then they should be reported to the Chair of the Department, who must look into the matter and provide a response to the Designee regarding either what action is to be taken or why action is judged not to be warranted.

- iii. A faculty member should not participate in the review of a particular probationary faculty member when he/she has a conflict of interest. Such a conflict may exist when there is a familial relationship with the probationary faculty member or a close professional relationship such that the reviewing faculty member stands to gain or lose professionally from the outcome of a probationary faculty member's review. When there is a question, about potential conflicts, the Chairs of the Department and of the CRPT, together with the CAC, shall meet with the reviewing faculty member to discuss and determine whether it is appropriate for that faculty member to recuse him/herself from a particular review.
- iv. Any tenured faculty member of the Department who is off-duty during a quarter when annual reviews of probationary faculty members are to take place may participate in the review process as a regular member of the CRPT on condition that he/she is able to examine the probationary faculty members' dossiers thoroughly before the review date and is willing to attend the review deliberations.

d. Review Procedures

- i. Sufficiently prior to the Spring Quarter the Chair will provide the probationary faculty member with written notice of annual review. The notice of annual review will request submission to the Chair of whatever evidence the faculty member may deem appropriate to enable the Department to evaluate performance in the areas of teaching, research, and service. It is the responsibility primarily of the individual faculty member to compile a dossier of such evidence, following the Office of Academic Affairs dossier outline (furnished by the Chair), and to ascertain that his/her curriculum vitae and bibliography in the Department files are kept up-to-date. Of special importance for the probationary faculty member is the need to ascertain that all pertinent information and material conveyed in the annual performance report (see 4.B{1}.a, above) also be included in the dossier. During the interim preceding the review, the faculty member may consult with the CAC, at times convenient to both parties, on general or particular matters relevant to preparation of the dossier or to the review process itself. It is the right of the individual faculty member to

- examine the contents of this dossier, his/her personnel file, or any other documents generated for reappointment (and promotion and tenure) reviews in accordance with the provisions of the Ohio Public Records Act.
- ii. Because of the specialized and diverse nature of the Department's faculty, evaluation of a probationary faculty member's research accomplishments by recognized scholars outside of the Department and the University, whose areas of specialization coincide with those of the faculty member, may be particularly important to the fair and proper conduct of later reviews prior to the final promotion and tenure review. Outside evaluations may be obtained for any annual review if judged appropriate by the CRPT or the Chair of the Department. Letters from outside evaluators are to be solicited following the Office of Academic Affairs "Guidelines for External and Internal Evaluation Letters." In any case, any negative review will be conducted according to University-standard fourth year review procedures. If the Department deems it appropriate, outside letters may be solicited in this process.
 - iii. Prior to the Spring Quarter in which the review of the probationary faculty member will be conducted, the Chair of the Department, in consultation with the CAC and the chair of the CRPT, will determine in the case of each probationary faculty member whether external evaluations are to be solicited and/or outside members of the CRPT to be appointed. In a letter the Chair will invite the probationary faculty member to submit a list naming possible outside evaluators (if they are needed) and will apprise him/her of the date and time of the review and of the names of any outside members of the CRPT.
 - iv. The probationary faculty member will assemble his/her dossier in accordance with paragraph I, above, and present it to the Chair by a date specified in the letter of notice. It should be noted that sloppily prepared dossiers, dossiers that are either padded or lacking in essential information, and dossiers that contain large amounts of self-evaluation or unnecessary narrative impose added burdens on review committees and reflect badly on both the probationary faculty member and the Department. The CAC will go over the dossier with the probationary faculty member for the following purposes:
 - to determine that sufficient evidence has been assembled and that is in satisfactory form (see OAA dossier outline); to verify the accuracy of the probationary faculty member's listing of his/her published work and provide a statement that this has been accomplished to the Chair of the CRPT (who will include it in the report of the CRPT to the Chair of the Department; see paragraph vii of this Section);
 - to advise the probationary faculty member and the Chair if corrections and/or further evidence is needed; and
 - to screen the evidence submitted and advise the probationary faculty member and the Chair if some items should not be included.
 - v. The Chair, in the presence of the CAC, will consult with the probationary faculty member after the CAC's review of the dossier has been completed. The faculty member will be shown the dossier, apprised of any unsolicited material submitted, and invited to submit such additional material as is necessary to assist the CRPT in making a well-informed

- assessment. A complete Table of Contents to the dossier will be prepared at this point, attached to the dossier, and circulated with it at all times.
- vi. When the CAC and the probationary faculty member have determined that the evidence is complete, the Chair will make the dossier available to the members of the properly constituted CRPT (see 4.B(2).c, above).
- It is the obligation of each eligible member of the properly constituted CRPT to examine responsibly and thoroughly the contents of the dossier; and the Chair of the Department shall take such measures as are reasonable, practicable, feasible, and collegial to encourage and monitor fulfillment of this obligation. In assessing the quality of a probationary faculty member's scholarship, in particular, members of the CRPT should not rely solely on external letters of evaluation. Total reliance on external evaluations to provide this assessment is appropriate and may lead to a decision that is not consistent with the Department's standards and expectations.
- vii. After sufficient time has been allowed for the members of the CRPT to examine the evidence, the Chair of the CRPT will convene a meeting of the committee at which time the evidence will be discussed and a vote taken.
- The Chair of the Department may participate in the discussions but will not vote. Votes on personnel matters must be by confidential ballot. A two-thirds affirmative vote is necessary to establish a recommendation. The CRPT through its Chair must submit a written report for each probationary faculty member to the Chair of the Department for inclusion in the dossier. This report is to include the committee's actual numerical vote and recommendation, an explanation of the recommendation (including the principal strengths and weaknesses of the case), and, if the vote was divided, a presentation of the differing viewpoints on the case.
- viii. The Chair of the Department shall write a letter summarizing the assessment of the probationary faculty member's case and a recommendation for inclusion in the dossier. Recommendations by the CRPT will ordinarily be accepted unless they are not supported by the evidence presented that the probationary faculty member meets University, College, and Department standards (see Faculty Rule 3335-47-02 and Section 6.A, below). Should the Chair make an assessment and/or recommendation differing from that of the CRPT, he/she will communicate in writing to the CRPT the reason(s) why their assessment and/or recommendation was judged not to be supported by the evidence. In case of such a finding and before forwarding the review materials to the Dean, the Chair will call a meeting of the CRPT to explain further his/her decision and invite discussion.
- ix. Non-renewal recommendations in the first through third and fifth year of appointment must result from fourth year review procedures. Therefore, should the chair recommend non-renewal, the comments process will be implemented and the case will be forwarded to the dean for college level review and decision. The Office of Academic Affairs has approved an exception to the Faculty Rules regarding non-renewal, the comments process that permits the department to have external evaluations whether a non-renewal recommendation is made or not.

e. Review Procedures: 4th Year Review

The fourth-year review of probationary faculty members shall follow the same procedures set forth above with two exceptions:

a minimum of three external letters of evaluation may be solicited by the Chair of the Department (see paragraph 4.B(2)d.ii and iii) and

the final decision on reappointment for the fifth year lies with the Dean of the College, who must consult with the College Promotion and Tenure Committee before reaching a negative decision or a decision contrary to the Department's recommendation.

f. Exclusion of Time from Probationary Periods

Under certain circumstances a probationary faculty member may exclude time from the probationary period in increments of one year. For details and restrictions see Faculty Rule 3335-45-03(D).

g. Communication and Forwarding of Results and Comments Process

- i. As soon as the CRPT report and the Chair's letter has been completed probationary faculty member must be notified in writing that the departmental review is over, that the report and the letter are available for examination, and that copies of both will be furnished on request. The written notification should also include a reminder that the faculty member may review his/her entire personnel file (as provided in Faculty Rule 3335-5-04; see 4.B{1}.b & .c, above). Within ten calendar days of such notification, the probationary faculty member may submit to the Chair of the Department written comments on the departmental review for inclusion in the dossier. The CRPT and/or the Chair of the Department may provide written responses to the probationary faculty member's comments for inclusion in the dossier. Only one submission of comments on the departmental level review is permitted.
- ii. During the probationary faculty member's first to third and fifth years, a decision by the Chair to review the appointment will be final. The probationary faculty member will be so notified in writing and in a meeting with the Chair and at least one other tenured faculty member of the Department. During this meeting the faculty member's principal strengths and weaknesses, as estimated by the Chair and the CRPT, will be discussed constructively, candidly, and collegially, so that the review process can be as supportive and helpful as possible to the faculty member, while maintaining and reinforcing the Department's commitment to excellence.
- iii. Following the probationary faculty member's fourth-year review, the Chair shall then forward to the Dean of the College the probationary faculty member's dossier with all internal and external evaluations, the faculty member's comments on the department review, and CRPT and/or Chair responses to those comments, if any.
- iv. Following the fourth-year review, a decision to renew the appointment for a fifth year must be formally approved or disapproved by the Dean of the College. At that time the probationary faculty member will be given the opportunity for examining

the College reports, requesting copies of them, and providing written comments (as described in i. of this Section). A positive decision on the College level will be communicated to the probationary faculty member through the Chair of the Department in the same manner set forth in the preceding paragraph. Before reaching a negative decision or a decision contrary to the Department's recommendation, the Dean must consult with the College Promotion and Tenure Committee.

- v. If, during any review of a probationary faculty member not involving promotion and tenure, the decision of the Dean is not to recommend that faculty member for reappointment, the probationary faculty member will be notified of this decision of non-renewal and of the reasons for it in writing and will be provided with a final date of employment in accordance with the standards of notice set forth in Faculty Rule 3333-5-08(A).

(3) Tenured faculty

a. Provisions

The provisions set forth in Sections 4.A and 4.B(1), above, obtain as well for annual reviews of tenured faculty members not involving decisions on promotions.

b. Review organization

- i. The properly constituted committee that annually reviews tenured faculty members will consist of:
 - the Chair of the Department;
 - the members of the CAC (and their alternates, when appropriate).
- ii. When the case of any member of the CAC comes under review, that member will withdraw from the deliberations and be replaced by his/her alternative for that case only.

c. Review Procedures

- i. Annually, by a date set by the Chair of the Department, every tenured faculty member will provide the Chair with (1) an updated CV and (2) a written report of accomplishments, as stipulated in 4.B(1).a, above, and any additional information required by the Chair.
- ii. The Chair of the Department will then convene the CAC as review committee to consider each tenured faculty member on case-by-case basis in order
 - (a) to assist the faculty member in developing and carrying out professional plans;
 - (b) to call attention to performance problems where they exist; and
 - (c) to recommend the faculty member's salary for the following year (see also Section 5, below).

d. Communication and Forwarding of Results and Comments Process

- i. It shall be the policy of this Department that, as soon as the review committee's deliberations have been completed, each tenured faculty member should be notified in writing that the review is over, that the results and salary recommendation, together with supporting documentation, are available for examination, and that copies will be furnished on request. The written notification should also include a reminder that the faculty member may review his/her entire personnel file (as provided in Faculty Rule 3335-5-04; see 4.B{1}.b and c, above). Within ten calendar days of such notification, the tenured faculty member may submit to the Chair of the Department written comments on the review, recommendation, and/or documentation for inclusion in the Chair's letter to the Dean (and/or the faculty member's dossier). The review committee and/or the Chair of the Department may provide written responses to the tenured faculty member's comments for inclusion in the Chair's letter to the Dean (and/or the faculty member's dossier).
- ii. The Chair of the Department shall then communicate in writing the results of the review and salary recommendation—together with supporting documentation and the tenured faculty member's comments and the review committee's and/or the Chair's responses, if any—to the Dean of the College, who will make the final disposition on the case. At that time the tenured faculty member will again be given the opportunity for examining the documents relevant to the College disposition, requesting copies of them, and providing written comments (as described in the preceding paragraph).

5. Merit Salary Increases and Other Rewards

A. Criteria

The criteria for merit salary increase and any other performance-based rewards are essentially the same as those taken into account for tenure and promotion (6.B, below)—with the exception that considerations of some aspects of teaching and service may carry greater weight on specific instances. Such increases and rewards would usually be allotted on the basis of the previous year's performance. In particular cases, however, such as certain kinds of long-term research or teaching projects, a cumulative assessment may be preferred.

B. Procedures

(1) Salary recommendations

- a. The properly constituted committee that annually determines salary recommendations will consist of

the Chair of the Department and

the members of the CAC (and their alternates, when appropriate).

- b. For tenured faculty members, salary recommendations constitute an integral part of the annual review process as set forth in Section

4.B(3), above.

- c. For probationary faculty members,
 - i. salary recommendations will be determined on the basis of deliberations of the committee following the annual reviews of tenured faculty; and
 - ii. will be based on the results of the annual review of probationary faculty members (as set forth in Section 4.B{2}, above) and on any additional documentation submitted in the annual performance report.

(2) Other rewards

Other rewards-such as Faculty Professional Leaves, Special Research Assignments, Probationary Faculty Development Quarters, provision with graduate research associates, College and University awards requiring departmental rank-ordering, etc., will be determined by the Chair of the Department on the recommendation of appropriate Chair-appointed ad hoc committees, after consultation with the Dean.

C. Documentation

Appropriate documentation for decision on salaries and other rewards includes the annual performance reports, statements of future plans, and updated CVs (as stipulated in 4.B{1}, above), dossiers (especially in the case of a probationary faculty member), and any other relevant information required by the Chair, submitted by the faculty member or generated and recorded during review deliberations.

6. Reviews for Promotion and Tenure and for Promotion: Criteria, Procedures and Documentation

A. General considerations

The criteria outlined below follow from and supplement those set forth in Faculty Rule 3335-47-02, which obtain in matters of reappointment, promotion and tenure, and promotion in this Department. These criteria are, by and large, applicable to tenured faculty members as well as probationary faculty members and, with appropriate adjustment of expectations, will obtain in annual reviews of tenured faculty members and reviews for promotion to professor. They are addressed to some of the concerns particularly relevant to the Department of NELC. In all cases each probationary faculty member under consideration for promotion and tenure and each tenured faculty member under review will be judged with respect to the proposed rank and duties, considering the record of his/her performance in:

teaching;

scholarship, pedagogical research, and creative work; and

service to the Department, the College, the University, and the professional community, as well as public service related to his/her expertise and departmental citizenship.

Outstanding undergraduate and graduate teaching is vital to the Department's successful maintenance of a viable and coherent curriculum. Therefore, due consideration will be given to demonstrated teaching proficiency in all reappointment, promotion and tenure, and promotion decisions. One of the Department's primary objectives is to establish and sustain reputable graduate programs that will attract qualified students and assure them of a rigorous and exciting educational experience. Therefore, meritorious publication is a necessary condition for reappointment, promotion and tenure, and promotion. In addition, it is to be expected that senior faculty members of the Department achieve national and international recognition as scholars and contributors in their respective fields and that junior faculty members show promise and evidence of achieving such recognition.

Reasonable flexibility shall be exercised in balancing heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another.

The Department seeks to foster an environment in which all faculty members, but especially probationary faculty, achieve an equitable allocation of time and effort among teaching, research, and service. The probationary period passes quickly and the

Department urges probationary faculty members to concentrate on those things that matter most for the attainment of promotion and tenure. These include excellence both in teaching in those areas noted to be the most important by the Department and in developing a focused program of research. The Department recognizes that probationary faculty should reasonably limit service. The probationary period is not the time for faculty members to voluntarily take on numerous committees and time-consuming professional roles that can detract from efforts to establish themselves as excellent teachers/scholars. On the other hand, the Department will not sanction avoidance of all service. Probationary faculty members will be expected to demonstrate their willingness and ability to be contributing members of the Department and the College. Tenured faculty members have a professional obligation to share in the administration of the Department, College, and University and to provide other kinds of professional service. In addition to high quality teaching and research, leadership in service roles is expected for promotion to full professor. According to Faculty Rule 3335-47-02(C), "promotion the rank of professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service."

It must be stressed, above all, "in all instances superior intellectual attainment, in accordance with the criteria set forth {in the Faculty Rules and in this document} is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the University as an institution dedicated to the discovery and transmission of knowledge" (Faculty Rule 3335-47-02{D}).

The procedures described below generally follow from and supplement those set forth in Section 4 Annual Reviews and are based on Faculty Rule 3335-47-04.

B. Promotion to rank of associate professor with tenure

(1) Criteria

a. Teaching

Excellent teaching on all levels and in all appropriate areas is central to the aims of the Department. To assess the quality of teaching, the department depends on University SEIs, the department's own student qualitative course evaluation forms, and written peer evaluations (at least two peer reviews per year for probationary and associate professors). Peer reviewers will be given access to SEIs for previous offerings of the course (if available) as well as the current syllabus, test forms, etc., and will conduct at least one direct classroom observation. The peer reviewer gives the faculty member oral feedback and furnishes the Chair with a written evaluation which becomes part of the faculty member's dossier, as do the SEI forms for each course. SEIs are provided to each class for confidential completion during class time, with one student designated to collect and return the forms directly to the department office. Copies of complete sets of SEIs are retained in the department office.

Excellence in teaching may be demonstrated through success in developing student interests in the subject area(s), effectiveness in conveying to students the essentials of the subject(s) taught, and a willingness to demand of students clear evidence of intellectual growth. In all appropriate classes—including language classes, whenever feasible—teachers should emphasize the necessity of clear and expressive writing, provide models for such writing through materials and readings made available to the class, insist uncompromisingly on competent writing from the students, and afford guidance, correction, and encouragement through meticulous, timely critical evaluation of students' written work.

In classes devoted more specifically to language teaching and learning or those devoted to critical and intensive study of original-language literary (and other) texts, teachers should be equally challenging in insisting on their students' improvement of the important skills involved and their growth in knowledge of the language(s) in general. Language teachers at every level should also be concerned with developing effective means and instruments (tests, exercises, recitations, reading and/or writing assignments, etc.) for determining, measuring, and evaluating students' actual proficiency and progress in the languages(s), as well as their mastery of the specific subject matter.

For faculty members whose responsibilities to a great extent involve program direction or multiple class course coordination, that aspect of their appointment must be weighted and evaluated with particular attention. Demonstration of excellence will be sought in such areas as the training and supervision of GTAs, the adaptation or development of materials used in the program or course in question, and/or success in gaining recognition for the program or course through national rankings, student recruitment and retention, or the attraction of outside funding.

Since evidence of successful graduate teaching and advising is important for promotion and tenure—and of particular importance for promotion to full professor, excellence of faculty members in this area will be a matter of major concern. Wherever appropriate, attention should be given not only to a faculty member's involvement in graduate students' MA or Ph.D. examinations or preparation of theses or dissertations, but also to his/her availability and effectiveness as a formal or informal graduate advisor. To the extent possible and

feasible, the Department should also attach importance to the determinable progress and success of students under a faculty member's guidance and direction—both during and following their graduate careers—to evaluate the faculty member's contribution (as mentor, advisor, recommender, advocate, etc.) to that progress and success.

b. Scholarship

No area of academic endeavor contributes as much as research does to the standing of the Department in the eyes of the College and its other units, of the University, and of the national and international academic community. Review committees for probationary faculty and tenured members, then, will place great emphasis on scholarly achievement and productivity. All candidates for tenure and promotion must demonstrate clear excellence in this area. Typically, a candidate for promotion to the rank of Associate Professor with Tenure will be expected to present a book published (or in production) by a scholarly press with a strong reputation as well as a number of articles that demonstrate original and important scholarship in the field and that have been published in refereed journals. Recognition may also be given to works of translation. For candidates in pedagogy, evidence of an active research program may also include textbooks and refereed articles that incorporate or present theoretical ideas or advances in pedagogy; it may also include innovative instructional software and other technology-based instructional materials and systems. In certain subdisciplines in the Department, such as linguistics, the publication of several substantial articles may represent effort and achievement comparable to the publication of a book in other disciplines. All candidates must also show other evidence of scholarly production in the form of published articles in major refereed journals, presentations at scholarly meetings, and the gaining of or efforts to gain outside funding or research.

c. Service

The CRPT shall consider service to the Department, College, and University that the faculty member has been asked to perform, as well as that which he/she may have initiated. The criteria for evaluating such service, together with those for evaluating service to the community, are broadly defined in Faculty Rule 3335-47-02(A). It should be added with emphasis that those who perform service in which the commitment of time is considerable, such as chairing a departmental, college, or university committee, serving as an undergraduate or graduate advisor, or service as director or coordinator of an instructional unit of a language program with little or no reduction in teaching load can reasonably expect that such service will receive due consideration. Any service obligations undertaken especially by non-tenured faculty members and submitted by them for evaluation under this rubric must be considered and discussed in their annual review. (See also Section 3.c below, for standards of documentation of service activities.)

Probationary and tenured faculty members should also be held to a high standard of departmental citizenship. Departmental citizenship includes effective service on departmental committees, including meeting deadlines for completion of work charged to such committees; service on college and university committees appropriate to one's skills and within or beyond the department, etc. Poor departmental citizenship at best imposes additional service burdens on other faculty members and at worst may obstruct the Department's ability to function and may damage its reputation. Poor departmental citizenship is recognized in this Department as an appropriate factor in the evaluation process.

(2) Review Procedures

According to the Faculty Rule 3335-47-02(B), "Tenure will not be awarded below the rank of associate professor."

The procedures to be followed in reviews for promotion and tenure of probationary faculty members are essentially the same as those set forth in Section 4.B(1) and (2), above, with the following additions or modifications:

- a. The review for tenure during the final year of a faculty member's probationary period is mandatory and must take place. At the departmental level, it culminates in a vote of all tenured faculty by secret ballot. They must be present at a formal review meeting, or submitting a written proxy, two-thirds affirmative vote to result in a recommendation for tenure.
- b. In contrast with annual reviews not involving questions of promotion and tenure, which are normally conducted in the Spring Quarter, mandatory promotion and tenure reviews will normally be conducted during the Autumn Quarter of the probationary faculty member's sixth year of probationary service.
- c. All candidates for promotion and tenure are reviewed not only by CRPT and the Chair of the Department, but also at the College and University levels, as directed in Faculty Rule 3335-47-04(C).
- d. Only the candidate may stop any review for promotion and tenure once external letters of evaluation have been sought (see g. of this Section, below). If the review process has moved beyond the Department, the Chair of the Department shall inform the Dean or the Vice Provost for Academic Policy for Human Resources as relevant, of the candidate's withdrawal. Withdrawal from the mandatory tenure review during the final probationary year means that tenure will not be granted. The probationary faculty member who withdraws from such a review in progress must provide a written letter of resignation to the Chair of the Department in order to prevent or terminate the review. The letter must contain a statement by the faculty member acknowledging that the decision not to complete the review may not be revoked.
- e. Any tenured faculty member of the Department who is off-duty during a quarter when the final review of a probationary faculty member or the review for promotion of a tenured faculty member is to take place is to be asked, explicitly in writing and in a timely fashion, the Chair whether he/she would be able and willing to participate in the review process on the same condition stipulated in 4.B(2).c.iv., above. That tenured faculty member is to respond to the Chair's invitation in writing and in a timely fashion.
- f. In the event that a member of the CRPT is unable to attend the final review of a probationary faculty member, he/she may vote in absentia, providing
 - i. that he/she has responsibly examined the probationary faculty member's dossier prior to casting a vote;
 - ii. that he/she has submitted to the Chair of the CRPT his/her sealed vote for or against the probationary faculty member's promotion and tenure; and
 - iii. that his/her vote be opened and counted with those cast by the rest of

the CRPT during the review.

- g. In all reviews for tenure and promotion and for promotion, the procedures with regard to outside evaluations of a probationary and tenured faculty member's research accomplishments must be implemented in accordance with the guidelines set forth in the annually disseminated OAA procedural guidelines. These guidelines offer advice on how the review committee can best assure meaningful and credible external evaluations and meet the requirement that no more than one half of the letters in the dossier be from persons suggested by the candidate.

External evaluators should be determined and external letters solicited no later than the Spring Quarter of the academic year preceding the probationary faculty member's final review.

(3) Communication and Forwarding of Results and Comments Process

The communication, forwarding, and comments procedures are essentially the same as those set forth in Section 4.B(2).e, above, with the following additions or modifications:

- a. After the departmental review process has been completed, the probationary faculty member has had the opportunity to view and comment on CRPT's and the Chair's reports and recommendations, and the CRPT and/or the Chair have written responses to the probationary faculty member's comments (if any), the Chair shall then forward to the Dean of the College the faculty member's dossier with all internal and external reevaluations, comments, and responses.
- b. At this point, the review procedures at the College and University level, as set forth in Faculty Rule 3335-47-04(C), become effective.
- c. The Chair of the Department is responsible for informing the candidate in writing of the Provost's final decision (if negative) or the recommendation to the Board of Trustees (if positive). If the final decision is for nonrenewal, the probationary faculty member will be notified of this decision and the reasons for it in writing (in accordance with the standards of notice set forth in Faculty Rule 3335-47-08) and in a meeting with the Chair and at least one other tenured faculty member of the Department.
- d. Probationary faculty members will be informed no later than the end of the year in which their mandatory final review for promotion and tenure takes place as to whether promotion and tenure will be granted by the beginning of the following year. If promotion and tenure are not granted, a one-year terminal year of employment is offered.

(4) Early {i.e. nonmandatory} Consideration for Promotion and Tenure

- a. Promotion and tenure may be granted at any time during the probationary period when the faculty member's record of achievement merits tenure and promotion. A probationary faculty member may, therefore, ask the Chair to be considered for early (i.e., nonmandatory) promotion and tenure review at any time prior to the final mandatory review. However, a non-mandatory tenure and promotion review itself must be conducted only during the Autumn Quarter in the College's normal cycle for mandatory tenure and promotion reviews. Hence, in order to ensure that the probationary faculty member and the Department have adequate time to prepare the case fully, the faculty member should address to the Chair his/her request for early

consideration early in the academic year preceding the Autumn of the desire review and certainly no later than the end of the preceding Winter Quarter.

- b. The Chair will convene the CRPT in regular or special session to consider the probationary faculty member's request for early consideration. The Committee may decline to put forth a probationary faculty member for formal nonmandatory promotion and tenure review if the faculty member's accomplishments are judged not to warrant such review (See Faculty Rules 3335-47-03{B.2} & 3335-47-04 {A.3}.)
- c. If the CRPT deem the probationary faculty member's request for early promotion and tenure review worthy of consideration, the Chair of the CRPT will set in motion the procedures for review, communication and forwarding of results, and comments discussed above in Sections 4.B(2).d.i-vii & 4.B(2).e., with the additions and modifications indicated in Section 6.B (2 & 3).
- d. The probationary faculty member may withdraw from a non-mandatory tenure and promotion review process at any time.
- e. The Chair of the Department is responsible for informing the candidate in writing of the Provost's final decision (if negative) or the recommendation to the Board of Trustees (is positive). If the final decision is negative, the probationary faculty member will be notified of this decision and of the reasons for it in writing, and the Chair and at least one other tenured faculty member of the Department will meet with him/her to discuss the areas in which improvement is needed.
- f. A negative decision is a nonmandatory promotion and tenure review process generally does not entail nonrenewal of an appointment. It may reasonably be assumed that evidence judged by the CRPT and the Chair of the Department sufficient to put forth a probationary faculty member for a formal non-mandatory early promotion and tenure review, unless discredited by evidence produced during the review process itself, should be sufficient to secure the faculty member's reappointment. Nor should a negative decision, of itself, normally prejudice or adversely affect the outcome of the mandatory final promotion and tenure review.

C. Promotion to rank of professor

(1) Criteria

a. Teaching

Excellent teaching on all levels and in all appropriate areas is central to the aims of the Department. To assess the quality of teaching, the department depends on University SEIs, the department's own student qualitative course evaluation forms, and written peer evaluations (at least one per year for full professors). Copies of complete sets of SEIs are retained in the department office.

Excellence in teaching may be demonstrated through success in developing student interests in the subject area(s), effectiveness in conveying to students the essentials of the subject(s) taught, and a willingness to demand of students clear evidence of intellectual growth. Since evidence of successful graduate teaching and advising is of particular importance for promotion to full professor, excellence of faculty members in this area will be a matter of major concern. Wherever appropriate, attention should be given no only to a faculty member's involvement in graduate students' M.A. or Ph.D. examinations or preparation of theses or dissertations, but also to his/her availability and effectiveness as a formal or informal graduate advisor. To the extent

possible and feasible, the Department should also attach importance to the determinable progress and success of students under a faculty member's guidance and direction-both during and following their graduate careers-to evaluate the faculty member's contribution (as mentor, advisor, recommender, advocate, etc.) to that progress and success.

b. Scholarship

A candidate for promotion to the rank of Professor is expected to present substantial publication beyond that which earned promotion to the rank of Associate Professor. Typically, this will consist of one or more additional books published or in production and regular publication in refereed journals. The candidate will also be expected to demonstrate a substantial record of participation at conferences where he or she will have presented papers. For candidates in pedagogy, evidence of an active research program may also include instructional software as well as textbooks and refereed articles beyond that which earned promotion to the rank of Associate Professor. For candidates in sub-disciplines in the Department, such as linguistics, more weight may be attributed to a second series of substantive articles. Candidates must continue to show other evidence of additional scholarly productivity in the form of articles in major refereed journals, presentations at scholarly meetings, and the gaining of or efforts to gain outside funding for research. Finally, recognition may also be given to works of translation.

c. Service

The CRPT shall consider service to the Department, College, and University that the faculty member has been asked to perform, as well as that which he/she may have initiated. The criteria for evaluating such service, together with those for evaluating service to the community, are broadly defined in Faculty Rule 3335-47-02(A). Departmental citizenship includes effective service on departmental committees, service on college and university committees, and service beyond the department appropriate to the rank of full professor at a major research institution.

(2) Review Procedures

- i. When a tenured faculty member (an associate professor) is considered ready for review for promotion to full professor (according to criteria set forth in Faculty Rule 3335-47-02{C} and in Section 6.C{1}, above, and in paragraph iv of this section) or when the faculty member requests from the Chair of the Department such a review, he/she shall first meet with the Chair for thorough discussion and consultation.
- ii. If the Chair and the tenured faculty member agree to go ahead, the Chair, in consultation with the Dean of the College of Humanities, will convene a Committee for Promotion to Full Professor (CRFP) to consider the tenured faculty member's request for consideration for promotion. The Committee may decline to put forth a tenured faculty member for a formal nonmandatory promotion review if the faculty member's accomplishments are judged not to warrant such review. However, the CPFP may not deny a tenured faculty member a formal review for promotion more than three consecutive years (see Faculty Rule 3335-47-04{A.3}).
- iii. The members of the ad hoc CPFP must be full professors (with the exception noted below) and must include:
the Chair of the CPFP, designated by the Chair of the Department in consultation with the Dean of the College.

the Chair of the Department, who shall not vote but who may participate in the deliberations as a regular member of the Committee, as they are governed by the rulings of the Chair of the CPFP {NOTE: If the chair is not a full professor, he/she may still serve ex officio as a non-voting member of the Committee};

a Procedures Oversight Designee, selected by the Chair of the CPRP (see Section 4.B{2}.c.i, above); and

all regular full professors of the Department.

However, whenever the Department has fewer than three eligible full professors (excluding the Chair of the Department), it will be necessary to select full professors from other departments within the College of Humanities to serve as regular members of the ad hoc CPFP. These non-Departmental Committee members (whose number may vary from case to case), will, as far as possible, be appointed in careful consideration of the area(s) of specialization of the tenured faculty member under review. The Chair of the CPFP and the Chair of the Department, in consultation with the Dean of the College, shall be solely responsible for selecting these outside members.

- iv. Procedures for review, communication and forwarding of results, and comments will correspond, with modifications suitable to consideration of tenured faculty, those set forth above in Sections 4.B(2).d.i-vii & 4.B(2).e., with the additions and modifications indicated in Section 6.D.

D. Documentation

a. Teaching

In some ways, teaching is more difficult to evaluate than research and service, and it is at times subject to a wider range of judgments than the other two categories. It is important that a varied body of informative and credible evaluative information be amassed that provides a basis for making informed judgments about teaching quality as well as for monitoring and improving the quality of instruction in the Department. A candidate's teaching should be evaluated, over a period of several quarters. The candidate should also be advised to consult the annually disseminated OAA Guidelines, for a general idea of kinds of evidence admissible in dossier preparation. Evidence of excellence in teaching may be attested in the following areas:

- i. Student opinions and judgments appropriately documented (e.g., SEI forms) and accompanied by interpretive information. This data, confidentially obtained, should be presented for every class taught. SEIs are provided to each class for confidential completion during class time, with one student designated to collect and return the forms directly to the department office.

Copies of complete sets of SEIs are retained in each faculty member's dossier. Faculty may also solicit student reviews in other formats and arrange for their confidential completion and inclusion in the dossier.

- ii. Written peer evaluations made by one designated faculty member who has visited one or both of the candidate's classes in each of two quarters. This need not be the

same reviewed for each class reviewed. In the case of peer reviews of tenured faculty members, the Department relies on teaching evaluations from professors outside the Department. As with extra-Departmental members of a properly constituted CRPT (see 4.B{2}.c.i, above), these extra-departmental teaching evaluators will, as far as possible and usually on an ad hoc basis be appointed in consideration of the area(s) of concentration and subject matter of the course under evaluation. The Chair of the Department in consultation with the CAC will be responsible for selecting these outside evaluators. Peer reviewers will be given access to SEIs for previous offerings of the course (if available) as well as the current syllabus, test forms, etc., and will conduct at least one direct classroom observation. The peer reviewer gives the faculty member oral feedback and furnishes the Chair with a written evaluation which become part of the faculty member's dossier, as do the SEI forms for each course.

- iii. Explanations by the candidate of special accomplishments in teaching or in the development of special materials. (Copies of syllabi or examinations may be included.) Whenever possible, these explanations should be supplemented by peer review (internal and external) of the materials in question, solicited by the Department.
- iv. Evidence to support distinction in teaching emphasizing the criteria outlined above.
- v. Evidence (provided by the candidate, departmental and University records, and solicited student and alumni attestation) of excellence in graduate teaching, advising, and advocacy as indicated by achievements, awards, and early professional successes of the candidate's students and advisees due to the candidate's direct or indirect guidance, influence, supervision, and support. (Such evidence might include graduate fellowships, honors, degrees awarded with distinction, pre-doctoral publications, post-doctoral fellowships, solid professional employment, etc.)
- vi. Documentation for candidates responsible for program direction or multiple classes course coordination, especially such as is relevant to GTA supervision and maintenance of departmental and College standards. (The format and procedure for providing such documentation will be stipulated in detail in an appropriate departmental policy statement.)
- vii. Any other information that the candidate may wish to submit to the Committee for Reappointment, Promotion, and Tenure and/or any information which the committee deems pertinent.

b. Scholarship

In evaluating scholarly achievement, both quality and quantity should be considered, but special emphasis must be placed on quality.

When scholarly work still in manuscript form is likely to make a difference in the outcome of the case, the Chair will solicit evaluations from outside scholars with respect to the work. Just as there are varying forms of scholarly activity and varying results of research efforts, there must be varying criteria and patterns for the evaluation of such efforts. In all cases, the Committee for Reappointment, Promotion, and Tenure shall consider both the evidence offered by the candidate and that solicited by its own members. The Committee shall look

for evidence that the scholarly accomplishments of the candidate make a significant contribution to the field or that they indicate the candidate's research promise. Such evidence may comprise the following categories:

- i. Publications. The type and scope of each publication shall be considered. The Committee for Reappointment, Promotion, and Tenure shall consider discussions and reviews of the work(s) being evaluated that have been published in scholarly journals and other serious organs and solicit critical appraisals from distinguished scholars working in the field at other universities.

Books, monographs, critical editions, articles, etc. based on original research shall be accorded special importance as evidence of scholarly achievement and development. In general, monographs and papers that undergo considerable scrutiny before publication (e.g., by editorial boards of journals or anthology editors) will be more highly valued than those that do not.

- ii. Other publications (not listed in order of importance):
 - (a) Textbooks, source books, readers, anthologies of texts, contributions in the area of foreign language teaching and similar publications which are conceived primarily for university instruction shall be judged scholarly works.
 - (b) Translations and creative work shall be evaluated in the light of originality, depth, and pertinence to the academic mission of NELC.
 - (c) Evaluation of reviews of scholarly works written for professional journals shall take into account the scholarship of the reviews and the type and quality of the journal.
- iii. Recognition shall be given for scholarly activity at international, national, and regional professional meetings. Papers, formal participation in symposia, and official commentaries as discussant of the papers of others shall be appraised whenever possible both directly and by the members of the Committee for Reappointment Promotion, and Tenure and/or on the basis of opinions, oral and written, of scholars in the field.
- iv. Importance shall be attached to scholarly recognition in the form of prizes, awards, grants, and fellowships, as well as to the invitations to delivery public lectures or to teach at other universities.
- v. Recognition in the form of requests to serve on editorial boards of scholarly journals, to chair sessions at professional meetings and conventions, or to serve on program committees for such meetings may be considered.
- vi. Any other evidence that the candidate and the Committee for Reappointment, Promotion, and Tenure believe pertinent to the candidate's development as a scholar may be considered.

c. Service

The faculty member's dossier for review should include complete written listings of department, college and university committee assignments held during the period of review, as well as listings of any positions held or other service activities or roles in professional organizations, with a timetable of meetings attended, and titles of any documents or other products prepared or under production in connection with those service roles. The faculty member should also list any public lectures given to organizations or in forums other than scholarly organizations or university bodies. Roles on editorial boards or as reviewers of candidates for academic employment, tenure, etc. may also be listed, as well as any consultancies or other advisory positions held in organizations which can reasonably be construed as relevant to the faculty member's professional identify or the university's mission as a public institution.

All extra-university service activities listed should identify clearly the organization served, in such a way that the accuracy of the listing can be independently checked by the appropriate review committee(s) at their discretion.

7. Appeals

It is the policy of The Ohio State University to make decisions regarding the renewal of probationary appointments and promotion and tenure in accordance with the standards, criteria, policies, and procedures states in these rules, supplemented by additional written standards, criteria, policies, and procedures established by tenure initiating units and colleges. If a candidate believes that a non-renewal decision or negative promotion and tenure decision has been made in violation of this policy and therefore alleges that it was made improperly, the candidate may appeal that decision. Procedures for appealing a decision based on an allegation of improper evaluation are described in Rule 3335-5-05 of the Administration Code. (Faculty Rule 3335-47-05 {A}).

8. Seventh Year Reviews

Every effort should be made to consider new information about a candidate's performance before a final decision is made if the new information becomes available before a decision is rendered. In rare instances, a tenure-initiating unit may petition the Dean to conduct a seventh year review for an assistant professor who has been denied promotion and tenure. Both the eligible faculty of the unit and the Chair must approve proceeding with a petition for a seventh year review. The petition must provide documentation of substantial new information regarding the candidate's performance that is germane to the reasons for the original negative decision. Petitions for seventh year reviews must be initiated before the beginning of the last year of employment because the seventh year review, if approved, would take place during the regular university review cycle of the assistant professor's seventh and last year of employment.

If the Dean concurs with the tenure initiating unit's petition, the Dean shall in turn petition the Provost for permission to conduct a seventh year review. If the provost approves the request, a new review will be conducted equivalent to the one that resulted in the non-renewal of the appointment. The conduct of a seventh year review does not presume a positive outcome. In addition, should the new review result in a negative decision, the faculty member's last day of employment is that stated in the letter of non-renewal issued following the original negative decision.

A faculty member may not request a seventh year review, appeal the denial of a seventh year review petition initiated by his/her tenure initiating unit, or appeal a negative decision following a seventh year review, since the faculty member has already been notified that tenure has been denied at the conclusion of the sixth year review. (Faculty Rule 3335-47-05{B}).

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