

**Appointments, Promotion and Tenure  
Criteria and Procedures  
for  
The Ohio State University  
Department of East Asian Languages and  
Literatures**

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# 1 PREAMBLE

Matters of appointment, reappointment, review, promotion, and tenure in the Department of East Asian Languages and Literatures (DEALL) will be administered in accordance with this document. This document is a supplement to Chapters 6 and 7 of the [Rules of the University Faculty](#); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs [Policies and Procedures Handbook](#); 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 of Arts and Sciences and by 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](#), of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule [3335-6-02](#) and other standards specific to this department and college; and to make 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 affirmative action and equal employment opportunity](#).

## 2 MISSION of the Department of East Asian Languages and Literatures

The mission of the Department of East Asian Languages and Literatures is to advance and disseminate knowledge of East Asian languages, literatures, and cultures. The department comprises faculty members whose work ranges across several areas of inquiry; three geographical and cultural regions of East Asia, namely, China, Japan, and Korea; and various periods of history. The department is committed to maintaining and enhancing its national and international reputation in research, education, and professional service.

## 3 DEFINITIONS

### 3.1 *Committee of the Eligible Faculty*

The eligible faculty for all appointment (hiring), reappointment, contract renewal, promotion, or promotion and tenure reviews must have their tenure home or primary appointment in the department.

The department chair, the dean and divisional, assistant, and associate deans of the college, the executive vice president and provost, and the president may not participate as eligible faculty members in reviews for appointment, reappointment, promotion, promotion and tenure, or contract renewal.

#### 3.1.1 Tenure-Track Faculty

##### Initial Appointment Reviews

- For an appointment (hiring or appointment change from another faculty type) review of an assistant professor, the eligible faculty consists of all tenure-track faculty in the department.
- For an appointment (hiring or appointment change from another faculty type) review at senior rank (associate professor or professor), the eligible faculty consists of all tenure-track faculty in the department.
- A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested.

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

- For the reappointment and promotion and tenure reviews of assistant professors, the eligible faculty consists of all tenured associate professors and professors.
- For the promotion reviews of associate professors, the eligible faculty consists of all tenured professors.

### **3.1.2 Teaching Faculty**

#### **Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of an assistant teaching professor, the eligible faculty consists of all tenure-track faculty and all teaching faculty in the department.
- For an appointment (hiring or appointment change from another faculty type) review at senior rank (associate teaching professor or teaching professor), the eligible faculty consists of all tenure-track and all teaching faculty in the department.
- A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested, and all nonprobationary teaching faculty of equal or higher rank than the position requested.

#### **Reappointment, Contract Renewal, and Promotion Reviews**

- For the reappointment, contract renewal, and promotion reviews of assistant teaching professors, the eligible faculty consists of all tenured associate professors and professors, all nonprobationary associate teaching professors, and all nonprobationary teaching professors.
- For the reappointment, contract renewal, and promotion reviews of associate teaching professors, and the reappointment and contract renewal reviews of teaching professors, the eligible faculty consists of all tenured professors and all nonprobationary teaching professors.

### **3.1.3 Associated Faculty**

#### **Initial Appointment, Reappointment, and Contract Renewal**

- Initial appointment (hiring or appointment change from another faculty type), reappointment, and contract renewal of associated faculty members are decided by the department chair in consultation with the tenure-track faculty.

Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary teaching

faculty and tenured faculty of equal or higher rank than the position requested) and prior approval of the dean or designee.

### **Promotion Reviews**

- Associated faculty are eligible for promotion but not tenure if they have adjunct titles, tenure-track titles with service at 49% FTE or below, and lecturer titles.

For the promotion reviews of associated faculty with adjunct titles, the eligible faculty shall be the same as for tenure-track or teaching faculty, as appropriate to the appointment, as described in Sections 3.1.1 or 3.1.2 above.

For the promotion reviews of associated faculty with tenure-track titles, the eligible faculty shall be the same as for tenure-track faculty as described in Section 3.1.1.

The promotion of a lecturer to senior lecturer is decided by the department chair in consultation with the tenure-track faculty.

#### **3.1.4 Conflict of Interest**

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

#### **3.1.5 Minimum Composition**

In the event that the department does not have at least three eligible faculty members who can undertake a review, the department chair, after consulting with the divisional dean, will appoint one or more faculty members from another department within the college of Arts and Sciences for the review so that the minimum number of three can be obtained.

### **3.2 *Promotion and Tenure Committee***

The chair, in consultation with the Committee of the Eligible Faculty, appoints members of the eligible faculty to serve on a P&T Committee for each tenure-track promotion and tenure or promotion case and each teaching faculty promotion case that arises in the department in a given year. Each P&T Committee consists of three eligible faculty members appointed to one-year terms. To the extent possible, a P&T Committee for promotion or promotion and tenure to associate professor should include at least one professor. One of the committee members, as decided by the committee, serves as the committee chair and another, also decided by the committee, serves as a Procedures Oversight Designee. A single eligible faculty member may serve on multiple P&T Committees but may not chair more than one P&T Committee at the same time.

### **3.3 *Quorum***

The quorum required to discuss and vote on all personnel decisions is two thirds of the eligible faculty not on an approved leave of absence. Faculty on approved leave are not considered for quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of

determining quorum only if the chair has approved an off-campus assignment.

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

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

In all votes taken on personnel matters only “yes” and “no” votes are counted. Abstentions are not votes. Absentee ballots and proxy votes are not permitted, but participating fully in discussions and voting via remote two-way electronic connection are allowed.

#### **3.4.1 Appointment**

A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the votes cast by eligible faculty members is positive. If the top candidate receives more than half but 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.

In the case of a joint appointment, the department must seek input from a candidate’s joint-appointment TIU prior to his/her/their appointment.

#### **3.4.2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**

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

In the case of a joint appointment, the department must seek input from a candidate’s joint-appointment TIU prior to his/her/their reappointment, promotion and/or tenure, or contract renewal.

## **4 APPOINTMENTS**

The types of faculty appointments in the Department of East Asian Languages and Literatures include tenure-track faculty, teaching faculty, and associated faculty, the latter of which can include visiting faculty, lecturers, and adjunct faculty.

### **4.1 CRITERIA**

#### **4.1.1 TENURE-TRACK FACULTY**

The Department of East Asian Languages and Literatures is committed to making faculty appointments that enhance or have strong potential to enhance the quality of the department. Important considerations include the individual's record to date in teaching, research and service; the potential for professional growth in each of these areas; and the potential for collaborating with colleagues and students both within the department and across the university in a way that will enhance the department’s mission as a comprehensive East Asian languages and literatures department and attract other outstanding faculty and students to the department. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the department. The search is either cancelled or continued, as appropriate to the circumstances.

##### **4.1.1.1 Instructor**

Appointment at the rank of Instructor is made only when the offered appointment is that of assistant professor, but requirements for the doctoral degree have not been completed by the candidate at the time of appointment.

Procedures for appointment are identical to that of assistant professor. The department will make every effort to avoid such appointments. An appointment at the Instructor level is limited to three years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. When an Instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department's eligible faculty, the department chair, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted except through an approved request to exclude time from the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

#### **4.1.1.2 Assistant Professor**

An earned doctorate in the relevant field is the minimum requirement for appointment at the rank of assistant professor without tenure. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the department and the profession is highly desirable. At the time of appointment to the rank of assistant professor, the individual must have a strong potential to attain tenure and advance through the ranks in a timely fashion.

An appointment at the rank of assistant professor is always probationary, and may not exceed six years, including prior service credit. An 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 or not promotion and tenure will be granted at the beginning of the seventh year.

Review for tenure prior to the mandatory review year is possible when the departmental Committee of the Eligible Faculty determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted except through an approved request to exclude time from the probationary period.

A probationary appointment may be terminated at any time subject to the notice provisions of Faculty Rule [3335-6-08](#) and the provisions of paragraphs (G), (H), and (I) of Faculty Rule [3335-6-03](#).

#### **4.1.1.3 Associate Professor**

Appointment offers at the rank of Associate Professor and offers of prior service credit require prior approval of the Office of Academic Affairs. Offers to foreign nationals require prior consultation with the Office of International Affairs.

It is expected that an individual appointed to the Department of East Asian Languages and Literatures faculty as an associate professor is a nationally recognized researcher with a high-quality body of scholarship, has demonstrated excellence in teaching undergraduate and graduate students, and demonstrated excellence in service/outreach to their profession and field as well as to the university. It is expected at the time of appointment to the rank of associate professor that the individual has strong potential to advance to the rank of professor in a timely fashion.

Appointment at the rank of associate professor normally entails tenure. A probationary appointment at the rank of associate professor is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

#### **4.1.1.4 Professor**

Appointment offers at the rank of Professor and offers of prior service credit require prior approval of the Office of Academic Affairs. Appointments at the rank of professor without tenure should not occur. Offers to foreign nationals require prior consultation with the Office of International Affairs.

It is expected that an individual appointed in the department as professor with tenure has established a national or international reputation as a leading scholar in his or her field with an outstanding body of scholarship, has demonstrated excellence in teaching at graduate and undergraduate levels, and has demonstrated a record of high quality service to his or her field and institution.

#### **4.1.2 TEACHING FACULTY**

The Department of East Asian Languages and Literatures is committed to making teaching faculty appointments that enhance or have strong potential to enhance the quality of teaching in the department. These appointments exist for faculty members who focus principally on the education needs of students in the department or college. Teaching faculty members are expected to contribute to the department's research and education mission as reflected in undergraduate and graduate program development and teaching. Teaching faculty appointments are made in accordance with Faculty Rule [3335-7](#).

Except for those appointed at the rank of instructor, for whom a contract is limited to three years, the initial contract for all other teaching faculty must be for a period of five (5) years. The initial contract is probationary, with reappointment considered annually. Second and subsequent contracts for teaching assistant and associate professors must be for a period of at least three (3) years and for no more than five (5) years. Second and subsequent contracts for teaching professors must be for a period of at least three (3) years and no more than eight (8) years. Tenure is not granted to teaching faculty. There is no presumption that subsequent appointments will be offered, regardless of performance. The terms of a contract may be re-negotiated at the time of reappointment. For faculty in their second and subsequent appointment terms, the teaching faculty member may be reappointed by the affirmative vote of the eligible faculty as defined in Section 3.4. These extended appointments are not probationary, and the individual may only be terminated for cause (see rule [3335-5-04](#) of the Administrative Code) or financial exigency (see rule [3335-5-02.1](#) of the Administrative Code). Tenure is not granted to teaching faculty.

##### **4.1.2.1 Assistant Teaching Professor**

A Master's degree and appropriate professional credentials demonstrating relevant experience and expertise in the field are minimum requirements for the rank of assistant teaching professor. Evidence of high-quality teaching is required, and high-quality service to the department and profession is desirable. Expectations include contribution to programmatic development, ability for collaborative work, and openness to innovation. Commitment to diversity, equity, and inclusion is required. Initial appointment to the rank of assistant teaching professor is for five years. At the end of the penultimate year, a review will take place and a decision made on another reappointment term.

##### **4.1.2.2 Associate Teaching Professor**

The awarding of the rank of associate teaching professor must be based on convincing evidence that the faculty member has a demonstrable record of excellence as a teacher, has provided effective service, and can be expected to continue a program of high-quality teaching and service relevant to the mission of the department and the mission of the University. Qualifications include knowledge of current research impacting teaching; contribution to programmatic development; ability for collaborative work; openness to innovation; high quality service to the department and profession; and commitment to diversity, equity, and inclusion.

### **4.1.2.3 Teaching Professor**

The awarding of the rank of teaching professor must be based on convincing evidence that the faculty member maintains a record of excellence in creating, developing and sustaining programs of high-quality instruction. The faculty member has a strong record of service relevant to the mission of the department and the mission of the University, including commitment to diversity, equity, and inclusion. Leadership in service at the local, state and national levels is expected.

### **4.1.3 ASSOCIATED FACULTY**

Associated appointments are made for up to three years at a time. In accordance with University Rule [3335-6-08](#) (D), decisions regarding the appointment and renewal of associated faculty on year-to-year contracts must be made in accordance with the department criteria and procedures. Appointments of all associated faculty, with the exception of lecturer and courtesy appointments, must be reviewed and approved by the College of Arts and Sciences. Lecturer and courtesy appointments are handled at the department level.

#### **4.1.3.1 Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor**

Adjunct appointments are sometimes compensated. Adjunct faculty appointments are given to individuals who give considerable uncompensated academic service to the department, such as teaching a course, for which a faculty title is appropriate. Adjunct faculty rank is determined by applying the criteria for appointment of tenure-track or teaching faculty, as appropriate to the appointment. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track or teaching faculty, as appropriate to the appointment. Reappointment of faculty in this category requires annual review. Faculty members may contact the department chair to suggest new appointments or renew previous ones.

#### **4.1.3.2 Lecturer and Senior Lecturer**

Appointment as lecturers requires that the individuals have, at a minimum, a master's degree (or equivalent experience and/or expertise) in a field appropriate to the subject matter to be taught. In the appointment of Lecturers, the crucial criteria are teaching experience and evidence of ability to provide high-quality instruction. Appointment as Senior Lecturer requires that the individual have, at a minimum, a doctorate or a terminal degree in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high quality instruction; or a master's degree and at least five years of teaching experience with documentation of high quality. Lecturers and senior lecturers are not eligible for tenure, though lecturers may be promoted to senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a lecturer or a senior lecturer should generally not exceed one year.

#### **4.1.3.3 Assistant Professor, Associate Professor, Professor with FTE below 50%**

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

#### **4.1.3.4 Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor**

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

three consecutive years at 100% FTE.

#### **4.1.4. EMERITUS FACULTY**

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule [3335-5-36](#). Full-time tenure track, teaching, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the department chair outlining academic performance and citizenship. The Committee of Eligible faculty (tenured associate professors and professors, nonprobationary associate teaching professors, and nonprobationary teaching professors) will review the application and make a recommendation to the department chair, who will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-5-04](#), emeritus status will not be considered.

See the OAA [Policies and Procedures Handbook](#) Volume 1, Chapter 1, for information about the types of perquisites that may be offered to emeritus faculty, provided resources are available.

Emeritus faculty may not vote at any level of governance and may not participate in promotion and tenure matters.

#### **4.1.5 COURTESY APPOINTMENTS FOR FACULTY**

Occasionally the active academic involvement in this department by a tenure-track faculty member from another department at Ohio State warrants a 0% FTE (no-salary courtesy) appointment in the department. Appropriate active involvement includes research collaboration, graduate student advising, teaching some or all of a course, or a combination of these. The appointment continues only as long as the faculty member contributes directly to the academic activities of the department. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

### **4.2 PROCEDURES**

See the [Policy on Faculty Recruitment and Selection](#) and the [Policy on Faculty Appointments](#) for information on the following topics:

- Recruitment of tenure-track 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

#### **4.2.1 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 in advance by the College of Arts and Sciences and the Office of Academic Affairs. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Searches for tenure-track faculty proceed as follows:

The dean of the College of Arts and Sciences, in consultation with the divisional deans, authorizes the department to commence a search process. This approval may be accompanied by constraints with regard to salary, rank, and field of expertise.

After authorization has been received from the dean to initiate a search, the department chair appoints a search committee consisting of three or more faculty members who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the department. A faculty member from another department of the university whose expertise is relevant to the search may be asked to serve on the committee.

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

The search committee shall:

- Appoint one of its members as committee chair and another as Diversity Representative, who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants, and assures that all members of the search committee have completed Implicit Bias Mitigation Training.
- Develop a search announcement for internal posting in the university Job Postings through the [Office of Human Resources](#) 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. The job posting should be worded to ensure the widest and most diverse potential applicant pool. 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.
- Develop and implement a plan for external advertising and direct solicitation of nominations and applications.
- Screen applications and letters of recommendation, and, if feasible and appropriate, conduct preliminary personal interviews at appropriate professional meetings and/or through on-line video conferencing system, then present to the full faculty a summary of those applicants (usually three or, in rare cases, four) judged worthy of interview. The search committee may, with the consent of the majority of the eligible faculty, invite top candidate(s) to an on-campus or virtual interview. The search committee chair, assisted by the department office, arranges on-campus or virtual interviews. If the faculty does not agree, the department chair, in consultation with the faculty and the divisional dean, determines the appropriate next steps, e.g., to solicit new applications, to review other applications already received, or to postpone or cancel the search.

On-campus or virtual interviews with candidates must include opportunities for interaction with faculty (individually or in groups); the search committee; graduate students; and the department chair; as well as the college dean of the College of Arts and Sciences, divisional dean of the College of Arts and Humanities, or their designee. In addition, all candidates make a presentation to the faculty and graduate students on their research and teach a class— an actual class or a mock instructional situation. All candidates interviewing for a particular position must follow the same interview format, and relevant accommodations for disability/impairment should be provided.

The committee must strive to find candidates who contribute to increasing the diversity of the unit. If the search committee judges that in the pool of candidates there is no qualified person who can contribute to the diversity of the department, it will explain at a meeting of the faculty 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 the inviting the finalists to campus for an interview. Vigorous efforts to ensure a diverse pool of highly qualified candidates are required.

Following completion of on-campus/virtual interview(s), the committee, taking into consideration input from formal discussions and written statements by faculty members and graduate students, formulates a recommendation about each candidate and presents it to the eligible faculty in the form of a motion or motions. Following a discussion, the eligible faculty vote by written, confidential ballot on each motion. The search committee reports the eligible faculty's recommendation on each candidate to the chair.

If more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. At that time, terms of the hire, including compensation and other features of the recruitment, are discussed. The divisional dean must be consulted during this time.

If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the chair. All offers at the associate professor and professor ranks and all offers of prior service credit require the prior approval of the College of Arts and Sciences and the Office of Academic Affairs.

The department is advised to discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the Office of International Affairs. The university will not grant tenure unless an individual is (1) a U.S. citizen or national; (2) a permanent resident ("green card" holder); (3) an asylee or refugee; or (4) an individual otherwise described as a "protected individual" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b). The department will therefore be cautious in making such appointments and vigilant in seeking residency status for the appointee promptly and diligently.

#### **4.2.2 TEACHING FACULTY**

A national search is required to ensure a diverse pool of highly qualified candidates for all non-tenure-track teaching positions. Exceptions to this policy must be approved in advance by the College of Arts and Sciences and the Office of Academic Affairs. Search procedures must entail substantial faculty involvement and be consistent with the [OAA Policy on Faculty Recruitment and Selection](#).

Searches for non-tenure-track teaching faculty proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus/virtual interview will address issues in teaching or professional teaching practice rather than scholarship.

#### **4.2.3 TRANSFER FROM THE TENURE TRACK**

Tenure-track faculty may transfer to a teaching appointment if appropriate circumstances exist. Tenure or tenure eligibility is lost upon transfer, and transfers must be approved by the department chair, the college dean, and the executive vice president and provost.

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

Transfers from a teaching appointment to the tenure track are not permitted. Teaching faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

#### **4.2.4 ASSOCIATED FACULTY**

University Rule [3335-6-08](#) (D) states that decisions regarding renewal of members of the associated faculty are made annually in accordance with criteria and procedures of the appointing unit and in accordance with university policies relative to associated faculty positions. The appointment, review, and reappointment of all compensated associated faculty are decided by the chair in consultation with the tenure-track faculty and must be approved by the dean. The associated faculty position used most frequently in the department is that of Lecturer. The chair appoints lecturers depending on enrollment demands. Renewals of the appointment depend both on a satisfactory performance and on the department's need for lecturers in subsequent semesters. There is never a presumption that a lecturer who teaches one semester will be offered an appointment in subsequent semesters.

Appointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department. Once the tenure-track faculty approves the proposed appointment, the chair extends an offer.

Associated appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Adjunct appointments may be renewed only when the uncompensated academic service for which the appointment was made continues. There is never a presumption that an associated appointment is continued without formal renewal.

Adjunct appointments may be renewed only when the uncompensated academic service for which the appointment was made continues. Visiting appointments are limited to three consecutive years at 100% FTE.

#### **4.2.5 COURTESY APPOINTMENTS FOR FACULTY**

Any member of the department faculty may propose a 0% FTE (courtesy) appointment for an Ohio State faculty member from another tenure unit if that faculty member meets the criteria for such an appointment as stated in Section 4.1.5. After discussion and approval by the eligible faculty, a courtesy appointment is made by the chair. The chair reviews courtesy appointments every three years to determine if they continue to be justified, and takes recommendations for non-renewal before the regular faculty for a vote. Similarly, any member of the faculty may request that the faculty consider the desirability of continuing courtesy appointments, and the faculty will take appropriate action.

## **5 ANNUAL PERFORMANCE AND MERIT REVIEW PROCEDURES**

The department follows the requirements for annual reviews as set forth in the [Policy on Faculty Annual Review and Reappointment](#), which stipulates that such reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment. According to the policy, the purposes of the review are to:

- Assist faculty in improving professional productivity through candid and constructive feedback and through the establishment of professional development plans;
- Establish the goals against which a faculty member's performance will be assessed in the foreseeable future; and
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

Depending on their appointment type, the annual reviews of faculty members are based on expected performance in teaching, research, and/or service as set forth in the department's policy on faculty duties and responsibilities (in the department Pattern of Administration); on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

The department chair is required (per Faculty Rule [3335-3-35](#)), to include a reminder in the annual review letter

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

## **5.1 DOCUMENTATION**

The annual performance review of every faculty member requires that the documentation described below be submitted to the department chair. Faculty members undergoing fourth-year review, review for promotion and tenure, or review for promotion to professor should provide the documentation in early autumn semester, according to the procedures for these reviews. Faculty members not going through these reviews should submit the materials no later than the fifteenth day of spring semester classes.

- Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 (*required for probationary faculty*) or updated documentation of performance and accomplishments (*non-probationary faculty*)
- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)

Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. That documentation is described in Section 6 of this document.

Copies of published materials are required for fourth-year review and sixth-year review of probationary faculty and for any review for promotion (see Section 6). They are to be submitted in other annual reviews when requested by the chair. Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. A scanned electronic image of the same may also be sent to external reviewers instead, if requested by the reviewer. An author's manuscript does not constitute documentation of publication.

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

## **5.2 PROBATIONARY TENURE-TRACK FACULTY**

Procedures for the annual reviews of probationary tenure-track faculty are governed by [Faculty Rule 3335-6-04](#), as well as by policies determined by the Office of Academic Affairs and contained in the [Policies and Procedures Handbook](#). At the time of appointment, probationary faculty members shall be provided with access information for all pertinent 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 access information for the revised documents.

All probationary faculty members must be reviewed annually during the probationary period. Normally, the reviews are conducted during the spring semester. The chair meets with each probationary faculty to discuss the results of the review, which must be presented in writing. The written evaluation of performance should include sufficient detail for meaningful feedback. The probationary faculty member may respond in writing to the performance evaluation by the chair.

### **5.2.1 First, Second, Third and Fifth-Year Review**

At the beginning of each academic year, for each probationary tenure-track faculty, the chair, in consultation with members of the eligible faculty as well as the probationary faculty member under review, appoints for each probationary faculty member the Annual Review Committee, consisting of at least two tenured faculty members. When an opposition is expressed by any of the eligible faculty members about the appointment of any particular

individual on the Annual Review Committee the chair consults further with the faculty to finalize the appointment no later than the third week of autumn semester.

The Annual Review Committee is charged with managing the annual review of probationary faculty members. It shall:

- Select among its members the chair of the committee.
- Conduct Peer Evaluation of Teaching by observing the classes, discussing the observation with the candidate, and writing up a report for inclusion in the Annual Review. The report should be filed within two weeks of observation of the class based on which the report is written. When appropriate, the Annual Review Committee, in consultation with the department chair, also solicits other faculty members, from within and outside of the department, to provide the Peer Evaluation of Teaching.
- Review the narrative portion of departmental course evaluation.
- Review the annual review dossier prepared by the probationary faculty in adherence to College guidelines.
- Invite the probationary faculty to discuss his/her case in an interview; the faculty member may submit to the committee a written statement detailing his/her accomplishments in teaching, research, and service.
- Whenever appropriate or necessary, seek additional information concerning the probationary faculty member, including consultation with colleagues, incorporating any additional reports of Peer Evaluation of Teaching conducted by other eligible faculty, in order to conduct a fair and thorough review. External evaluations of a faculty member's work, required for tenure and promotion reviews, may be obtained, only if deemed necessary because the eligible faculty lacks the expertise to properly assess the probationary faculty member being reviewed. In all instances, the Annual Review Committee will seek to determine that high standards of professional performance have been met.
- Produce and submit to the chair a written report of evaluation and recommendation on the renewal or the appointment.

Taking the Annual Review Committee's recommendation into account, the chair makes the departmental recommendation and transmits to the probationary faculty member the final outcome of the departmental review in two ways: face-to-face meeting and in writing. In accordance with Faculty Rule [3335-6-03\(C\)](#) (2), annual review letters by the chair become a part of the faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure. The faculty member may respond in writing to the chair's letter, in which case both documents will be placed in the file.

If the department chair recommends renewal of the appointment, this recommendation is final. The department chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The department chair's letter (along with the faculty member's comments, if received) is forwarded to the divisional dean and the dean.

If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty [3335-6-03](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the dean, who, in consultation with the divisional dean, makes the final decision on renewal or nonrenewal of the probationary appointment. A probationary faculty member must be informed in writing of a decision for nonrenewal according to standards of notice set forth in University Rule [3335-6-08](#), and in keeping with instructions from the Office of Academic Affairs. All letters must be approved by the college dean in advance of being sent.

## **5.2.2 PROBATIONARY TENURE-TRACK FACULTY—FOURTH-YEAR REVIEW**

During the fourth year of probationary period, the annual review has the same procedures as those of the sixth year (mandatory) review for tenure (See Section 6.4), with the following three exceptions: (a) there are only two levels of review, the department and the College; (b) the Annual Review Committee, rather than the Promotion and Tenure Committee, conducts the review; and presents its findings to a meeting of the Eligible faculty; (c) external evaluations are not required.

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

The fourth-year review differs from first, second, third, or fifth-year review in five ways similar to the procedures of the sixth year (mandatory) review for tenure (See Section 6.4): (1) voting by written ballot of the full eligible faculty is necessary whether the recommendation of the Annual Review Committee is positive or negative; (2) the chair conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment, without external evaluations; (3) the dean (not the chair) makes the final decision regarding renewal or non-renewal of the probationary appointment; (4) the Annual Review Committee consists of at least three (not two) tenured faculty members; and (5) one of the Annual Review Committee members is designated as Procedural Oversight Representative.

At the conclusion of the department review, the formal comments process (per [Faculty Rule 3335-6-04](#)), is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal. The review results in two letters of evaluation, one from the Annual Review Committee and a separate letter from the chair. Renewal of the appointment of a probationary faculty member for the fifth year requires the approval of the divisional dean, who serves as the dean's designee for the review.

## **5.2.3 EXCLUSION OF TIME FROM THE PROBATIONARY PERIOD**

Faculty Rule [3335-6-03 \(D\)](#) provides that tenure-track faculty members may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs [Policies and Procedures Handbook](#).

## **5.3 TENURED FACULTY**

Professors participate in the review of associate professors, and the chair writes an annual review letter for each associate professor. At the beginning of the autumn semester, the chair appoints professors to conduct the Peer Review of Teaching for the associate professor. When there are no professors in the department other than the chair, the chair, in consultation with the divisional dean, solicits a professor from another unit to conduct the Peer Review of Teaching. Professors monitor the associate professor's progress toward promotion. The chair conducts an independent assessment and writes a letter of performance evaluation; and meets with the person to discuss his or her performance and future plans and goals. The associate professor may provide written comments on the review. Any written comments of the professors, the chair's review letter, and the associate professor's written comments, if any, become part of the associate professor's file.

Associate professors who wish to be considered for promotion to professor must by March 15 notify the chair of their interest in going through with a non-mandatory review. They must provide the professors on the committee of the eligible faculty statements on research and on teaching and evidence of teaching effectiveness for all courses taught over the past five years; this is to include peer reviews, SEI's, and the department's own evaluation

instruments. (See Section 5.1. for documentation.). The professors of the committee of the eligible faculty make a recommendation to proceed with the review for promotion.

Professors are reviewed annually by the department chair, who meets with the faculty member to discuss his or her performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to the department, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The department chair prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

Both the chair's letter of evaluation and the faculty member's comments, if submitted, become part of the faculty's file.

#### **5.4 TEACHING FACULTY**

Procedures for the annual performance and merit reviews of teaching faculty are governed by Faculty Rule [3335-7-05](#), as well as by policies determined by the Office of Academic Affairs and contained in the [Policies and Procedures Handbook](#).

All probationary and non-probationary teaching faculty members must be reviewed annually. Normally, the performance and merit review process for probationary and non-probationary teaching faculty is identical to that for tenure-track probationary and tenured faculty, respectively. Non-probationary teaching faculty may participate in the review of teaching faculty of lower rank. The reviews are conducted during the spring semester. The chair meets with each teaching faculty member to discuss the results of the review, which must be presented in writing. The written evaluation of performance should include sufficient detail for meaningful feedback. The probationary faculty member may respond in writing to the performance evaluation by the chair.

By the end of the penultimate year of each contract period, the teaching faculty member will be informed as to whether a new contract will be extended at the conclusion of the current contract period. If a new contract is not extended, the final year of the current contract is a terminal year of employment. There is no presumption that a new contract will be extended. A contract may be renegotiated during a contract period only with the voluntary consent of the teaching faculty member, but the terms of a contract may be renegotiated at the time of reappointment.

The standards of notice set forth in rule [3335-6-08](#) of the Administrative Code apply to teaching faculty appointments.

#### **5.5 ASSOCIATED FACULTY**

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The department chair, or designee, prepares a written evaluation and meets with the faculty member to discuss his/her/their performance, future plans, and goals.

The chair reviews and recommends to the dean of the College of Arts and Sciences the reappointment of compensated associated faculty. This evaluation process takes place in consultation with the tenure-track faculty.

#### **5.6 SALARY RECOMMENDATIONS**

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

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

Meritorious performance in teaching, research, and service is assessed in accordance with the same criteria that form the basis for promotion decision. The time frame for assessing performance will be the past 24 months, with attention to patterns of increasing or declining productivity, especially those noticed in the immediate past 12 months. Faculty with high quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

Faculty who fail to submit the required documentation (see Section 5.1 above) for an annual review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

The chair recommends to the divisional dean annual salary increases and other performance rewards. In making the recommendations, the chair generally divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate.

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

The time period covered by the documentation described below is the 12 months prior to the review. The total time period normally used for the evaluation is the previous three years with documentation for previous years available from past reviews.

### **5.6.1 Teaching**

- Cumulative SEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class taught.
- Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program
- Copies of pedagogical materials developed and regularly used in Department of East Asian Languages and Literatures courses, though not published for a wider audience, such as Individualized Instruction lesson plans.
- Evidence of national reputation for teaching, such as awards, workshop invitations, and teaching-related presentations.
- Other relevant documentation of teaching as appropriate.

### **5.6.2 Research**

- Copies of all scholarly papers, books, or other materials published or accepted for publication. Materials

accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the material has been unequivocally accepted and is in final preparation for publication. An accepted but unpublished work submitted for consideration in a given annual review may not be resubmitted after publication for consideration in a future annual review.

- Documentation of grants and contracts received.
- Documentation of creative works and performances and relevant reviews.
- Other relevant documentation of research as appropriate, e.g. published reviews including publications where one's work is favorably cited, or grants and contract proposals that have been submitted.

### **5.6.3 Service**

- Any available documentation of the quality of service that enhances the list of service activities in the dossier.

## **6 PROMOTION AND TENURE AND PROMOTION REVIEWS**

Faculty Rule [3335-6-02](#) provides the following context for promotion and tenure and promotion reviews:

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

### **6.1 CRITERIA AND DOCUMENTATION THAT SUPPORT PROMOTION**

#### **6.1.1 Promotion to Associate Professor with Tenure (or Tenure at the Rank of Associate Professor)**

Faculty Rule [3335-6-02](#) (C) provides the following general criteria for promotion to associate professor with tenure.

The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.

In the College of Arts and Sciences, promotion to associate professor with tenure requires excellence in both scholarship and teaching, where scholarship is defined as research, scholarly and/or creative work. The promise of excellence in service is desirable. Excellence in scholarship means attainment of measurable national or international recognition based on an appropriate amount and rate of high quality published research and/or other relevant creative endeavors. A successful candidate will have an emerging national reputation as a scholar. Excellence in teaching means the provision to all students of the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced

learning experience. Excellence in service means the provision of a high level of professional expertise and experience to one or more publics – including the university, the Columbus community, the State of Ohio, the nation, and professional organizations. The service contribution during the probationary period of assistant professors is limited by design. The most important judgment is that the candidate will achieve excellence in service in the future.

The award of tenure is an acknowledgement of excellence and future potential for preeminence. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the department's academic mission at a high level for the duration of their time at the university.

Every candidate is held to a high standard of excellence in all aspects of performance. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities.

Excellence in teaching, scholarship, and service include professional ethical conduct in each area of responsibility, consistent with the [American Association of University Professors' Statement on Professional Ethics](#).

The accomplishments listed below in the areas of research, teaching, and service are expected of faculty for promotion to associate professor with Tenure in the department. Tenure is not awarded below the rank of associate professor at The Ohio State University. In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

#### **6.1.1.1 Research**

For promotion to associate professor with tenure, a faculty member is expected to have met the following criteria.

- Published a distinctive body of work in high quality peer reviewed venues that contributes substantively to knowledge in the area of focus, and is favorably cited or otherwise shows evidence of influence on the work of others. Typically, this includes a book published (or at least a finished manuscript under final, board-approved contract and in production) by a scholarly press with a strong reputation. In certain disciplines 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. 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. The following attributes of the body of work are considered:
  - Quality, impact, quantity.
  - Unique contribution to a line of inquiry or reconceptualization of earlier work by, for example, annotating it in terms of social, historical, or political contexts.
  - Rigor of the peer review process and degree of dissemination at publication venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published research more than unpublished research, and original works more than edited works.

- While collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
- Interdisciplinary and multi-disciplinary work is encouraged.
- Work in progress should be assessed whenever possible.
- In the field of language pedagogy, textbooks, instructional software, and other technology-based instructional materials may be presented as evidence of scholarly achievement provided that they include material that explicates their design, innovative features, efficacy, or theoretical significance.
- Translation from original works in East Asian languages to English is another important endeavor consistent with the departmental mission. Translations may be presented as evidence of scholarly achievement especially when presented in the context of scholarly publication that explicate their historical, esthetic, cultural, or social significance or along with critical scholarly apparatus. Translations will be evaluated in light of their scholarly significance and the contribution they make to public knowledge.
- Creative literary production or artistic performances may be presented as evidence of scholarly achievement provided that such creative work supplements the primary forms of scholarship noted above. Creative works will be evaluated in terms of such criteria as the expertise they require, significance, and pertinence to the candidate's field of study. To be considered evidence of scholarly achievement, creative work must be supplemented by scholarly articles or other writings that explicate its historical, aesthetic, cultural, or pedagogical significance.
- Reviews of scholarly works written for professional journals will be evaluated in light of the contribution they make to the field and the reputation of the journals.
- Scholarly presentations at international, national, and regional professional meetings, including official commentaries as discussant of the papers of others; and to success in proposing and organizing panels for such meetings. The quality of the presentations themselves will also be assessed to the extent possible.
- A demonstrated ability to obtain and potential to sustain research program funding.
- A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, invitations to serve on editorial boards or leadership in prominent professional societies both in the United States and abroad, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based merely on frequent attendance at national and international conferences.
- Scholarly prizes, awards, and fellowships as well as to invitations to deliver public lectures; present demonstrations, workshops, or performances; or teach at other universities.

### **6.1.1.2 Teaching**

For promotion to associate professor with tenure, a faculty member in this department is expected to have:

- Provided up to date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge.

- Selected course materials consistent with the stated goals of any courses offered.
- Demonstrated the ability to organize and present class material effectively, clearly, and with enthusiasm.
- Demonstrated creativity in the use of various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment.
- Engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process.
- Used assessment procedures consistent with the stated goals of the instructional activities.
- Provided appropriate and timely feedback to students throughout the instructional process.
- Treated students with respect and courtesy.
- Improved curriculum through revision or new development of courses and/or academic programs.
- Produced original and substantial pedagogical materials that are not published but are used regularly in the department courses. Substantial refers to both volume and quality. Typically, such materials are used actively by students and teacher(s) throughout a given course and receive satisfactory ratings in course evaluation.
- Provided appropriate mentoring to Graduate Teaching Associates or associated faculty members (lecturers, for example) whom the faculty member supervised.
- Served as advisor to an appropriate number of graduate students given the department's graduate student/faculty ratio and the faculty member's area(s) of expertise.
- Contributed to program development through proposal of new courses, revision of courses, and coordination of multiple levels of instruction within a program, as is particularly the case with the language programs.

### **6.1.1.3 Service**

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

- Made substantive contributions to the governance of the department in a collegial manner that facilitates positive contributions by others. These include, but are not limited to:
  - Successfully managing the graduate, undergraduate, or language programs of the department as one of the faculty administrators of the department specified in the departmental Pattern of Administration;
  - Serving on search committees or promotion and tenure committees, taking part in the organization of the annual language festival and the DEALL Undergraduate Research Forum; and
  - Contributing to the publicity and fund-raising of the department.

- Represented the department in larger administrative units, such as the College or the University.
- Engaged in outreach activities that are consistent with the academic mission of the department.
- Demonstrated the potential for useful contributions to the profession.

### **6.1.2 Promotion to Professor**

Faculty Rule [3335-6-02](#) (C) establishes the following general criteria for promotion to the rank of professor.

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

The specific criteria in teaching, research, and service for promotion to Professor in the department are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and increasing quality of contributions, a record of continuing professional growth, and evidence of an established national and international reputation in the field. To be recommended for promotion from associate professor to professor, the candidate must have demonstrated continued growth and/or excellence as an effective teacher at all levels at which s/he teaches. The candidate is expected to present substantial publication beyond that which earned promotion to the rank of associate professor. Where a candidate has made truly extraordinary contributions in the areas of teaching or service, that record may warrant promotion in combination with a less extensive, though excellent record of continued productivity in scholarship.

A successful candidate will have achieved national distinction as a scholar and have an emerging international reputation. Excellence in teaching means the provision to all students of the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, enhanced learning experience. It is normally measured by student progress and noteworthy student accomplishments, and evaluation of teaching by students and peers. National or international recognition, as evidenced by pedagogical material development, awards, and honors may also be used as evidence of excellent teaching. Excellence in service means the provision of a high level of professional expertise and experience to one or more publics, including the university, or the regional, national, and professional communities.

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

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

## **6.2 TEACHING FACULTY**

### **6.2.1 Promotion to Associate Teaching Professor**

For promotion to associate teaching professor, the department requires that an assistant teaching professor is successfully completing the probationary period (and a subsequent term or terms) by showing convincing evidence that the faculty member has a demonstrable record of excellence as a teacher, has provided effective service, and can be expected to continue a program of high-quality teaching and service relevant to the mission of the department and to the mission of the University. Qualifications include knowledge of current research impacting teaching; contribution to programmatic development; ability for collaborative work; openness to innovation; high quality service to the department and profession; and commitment to diversity, equity, and inclusion.

### **6.2.2 Promotion to Teaching Professor**

For promotion to teaching professor, the department requires that an associate teaching professor has convincing evidence that the faculty member maintains a record of excellence in creating, developing, and sustaining programs of high-quality instruction. Evidence of scholarly publication is expected, typically, a book, a textbook, translation, works of synthesis, edited volumes, scholarly papers, peer-reviewed research articles, in leading professional journals. Scholarly publication and other scholarly activities occur in diverse media, including a bound, printed form, current formats of stand-alone electronic media, or on the Internet. Regardless of the medium, the same standard of clearly demonstrated excellence applies. The faculty member has a strong record of service relevant to the mission of the department and the mission of the University, including commitment to diversity, equity, and inclusion. Leadership in service at the local, state and national levels is expected.

### **6.3 ASSOCIATED FACULTY**

#### **6.3.1 Promotion to Adjunct Associate Professor and Adjunct Professor**

The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track or teaching faculty, as appropriate to the appointment, above.

#### **6.3.2 Promotion to Associate Professor and Professor with FTE below 50%**

The relevant criteria for the promotion of associated faculty members with tenure-track titles are those for the promotion of tenure-track faculty above.

#### **6.3.3 Promotion to Senior Lecturer**

Lecturers may be promoted to senior lecturer if they meet the criteria for appointment at that rank as described in Section 4.1.3.2.

#### **6.3.4 Promotion of Visiting Faculty**

Visiting faculty members are not eligible for promotion.

### **6.4 PROCEDURES**

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule [3335-6-04](#), , and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#).

#### **6.4.1 Procedures for Tenure-Track and Teaching Faculty**

##### **6.4.1.1 Candidate Responsibilities**

Candidates for promotion and tenure or promotion are responsible for submitting a complete, accurate dossier and providing a copy of the APT document under which they wish to be reviewed. If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators compiled for their case according to departmental guidelines. Each of these elements is described in detail below.

- **Dossier**

Every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by him/her/them.

### **Teaching**

The time period for teaching documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is more recent, to present. The eligible faculty may allow a tenured or nonprobationary candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated.

- Cumulative SEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class.
- Narrative summary, prepared by the Promotion and Tenure Committee, of departmental Course Evaluation Forms or any course evaluation forms developed by the faculty member.
- Peer Evaluation of Teaching reports, as detailed in Section 9 of this document.
- Copies (or URL) of original, and substantial pedagogical materials that are not published but are used regularly in the department courses. These must be accompanied by documents, such as course syllabi, that prove the use of the materials in department courses.
- Teaching activities as listed in the core dossier.
- Other relevant documentation of teaching as appropriate.

### **Scholarship**

For scholarship documentation, a full history of publications and creative work should be included, as this information provides context to the more recent and relevant research record and/or demonstrates scholarly independence. Information about scholarship produced prior to the start date (for probationary faculty) or date of last promotion (for tenured or nonprobationary faculty) may be provided. Any such material should be clearly indicated. However, it is the scholarship performance since the start date or date of last promotion that is to be the focus of the evaluating parties.

- Copies of all scholarly publication. Materials accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final stage of preparation.
- Candidate may wish to submit, or the committee may ask to see the review letters that were sent to a publisher who had requested a critical appraisal of a manuscript or, in the case of a software, a beta-testing edition.
- Documentation of grants and contracts received.
- Other relevant documentation of research as appropriate, e.g. published reviews including publications where one's work is favorably cited, or grants and contract proposals that have been submitted.
- External letters of evaluation (sent by evaluators to the P&T Committee chair).

### **Service**

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is more recent, to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated.

- Service activities as listed in the core dossier.
- Any available documentation of the quality of service that enhances the list of service activities in the dossier.

The complete dossier is forwarded when the review moves beyond the department. The documentation of teaching is forwarded along with the dossier. The documentation of scholarship and service is for use during the departmental review only, unless reviewers at the college and university levels specifically request it.

- **Appointments, Promotion, and Tenure (APT) Document**

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

- **External Evaluations**

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

#### **6.4.1.2 Committee of the Eligible Faculty Responsibilities**

The committee of the eligible faculty shall:

- a) Review this document each year and recommend proposed revisions to the faculty.
- b) In early spring, consider requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A simple majority of votes cast on a request must be affirmative for the review to proceed.
  - i. The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
  - ii. A tenured faculty member may only be denied a formal promotion review under Faculty Rule [3335-6-04](#), for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
  - iii. A decision by the committee to permit a review to take place in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- c) Assist the department chair in forming the Promotion and Tenure Committees for all cases of promotion

and tenure.

- d) Review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed and voted on.
- e) Attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance. Participate in discussion of every case; and vote.
- f) To meet to consider a tenure candidate's case no later than the fourth week of the autumn semester of the tenure candidate's sixth year, unless the candidate's tenure timetable differs from the normal case in a way that has been approved by the dean and the executive vice president and provost in response to a petition from the department in accordance with Faculty Rule [3335-6-03](#) (D) or in the case of seventh-year review, as described in Section 9 below.

#### **6.4.1.3 Promotion and Tenure Committee Responsibilities**

The Promotion and Tenure Committee shall provide administrative support for the promotion and tenure review of each candidate as described below.

- a) Mid spring: Select from among its members a Procedures Oversight Designee (POD) who will serve in this role for the following year. The POD cannot be the same individual who chairs the committee. The POD's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
- b) Mid spring: Suggest names of external evaluators to the department chair and assist the chair in formulating the final list of external reviewers to be contacted by the chair.
- c) Early autumn: Summarize the departmental discursive evaluation of teaching for the candidate.
- d) Early autumn: Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made to the dossier before the formal review process begins.
- e) Mid autumn: Meet with the candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- f) Mid autumn: Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty along with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee does not vote as a body on cases. The committee clearly presents its analysis of the candidate's record.
- g) Revise the draft analysis of each case following the meeting of the eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
- h) Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- i) Provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure-initiating unit is another department. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure initiating unit substantially

earlier than the committee begins meeting on this department's cases.

#### **6.4.1.4 Department Chair Responsibilities**

The department chair shall:

- j) To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. (The department must ensure that such questions are asked of all candidates in a non-discriminatory manner.).
- k) Mid spring: Form a Promotion and Tenure committee for each candidate for promotion and/or tenure and appoint its chair, in consultation with the committee members.
- l) Mid spring: solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair, and the candidate. (Also see EXTERNAL EVALUATIONS below.)
- m) Solicit an evaluation from a TIU head of any TIU in which the candidate has a joint appointment.
- n) Make each candidate's dossier available in an accessible place for review by the eligible faculty at least one week before the meeting at which specific cases are to be discussed and voted.
- o) Charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- p) Remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- q) Attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions that are raised during the meeting. The chair may not vote. In addition, at the request of the eligible faculty, the chair will leave the meeting to allow open discussion among the eligible faculty members.
- r) Mid-autumn: Provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- s) Meet with the eligible faculty to explain any recommendations contrary to the recommendation of the eligible faculty.
- t) Inform each candidate in writing after completion of the department's review process:
  - i. of the recommendations by the eligible faculty and department chair;
  - ii. of the availability for review of the written evaluations by the eligible faculty and department chair; and
  - iii. of the opportunity to submit written comments on the above material, within ten days of receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- u) Provide a written response to any candidate comments that warrant response for inclusion in the dossier.

- v) Forward the completed dossier to the college office by that office's deadline.
- w) Receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other TIU by the date requested.

#### **6.4.2 Procedures for Associated Faculty**

Adjunct faculty and associated faculty with tenure-track titles for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track faculty (see PROMOTION AND TENURE AND PROMOTION REVIEWS above), with the exception that the review does not proceed to the college level if the department chair's recommendation is negative (a negative recommendation by the department chair is final in such cases), and does not proceed to the executive vice president and provost level if the dean's recommendation is negative.

#### **6.5 EXTERNAL EVALUATIONS**

External evaluations of research and scholarly activity are obtained for all promotion reviews in which research must be assessed. These include all tenure-track promotion and tenure or promotion reviews.

External evaluations are optional in other reviews and will be obtained as needed. When obtained, they should meet the criteria described below.

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

- is written by a person highly qualified to judge the candidate's research (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, institutional affiliation, and rank at the affiliated institution.
- provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. External evaluators do not make recommendation on the merits of the case.

The chair of the Promotion and Tenure Committee will ascertain by the fastest means available whether or not potential referees are willing to write letters of evaluation within the stipulated time. After a final list of referees has been arrived at conforming to the aforementioned constraints, the chair of the department writes formal letters of invitation and sends out materials. Since the department cannot control who agrees to write and or the usefulness of the letters received, one or two additional letters beyond the required five may be sought, and they are solicited no later than the end of the spring semester prior to the review year.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Section B(3) of Faculty Rule [3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor the department requires that the dossier contain letters from evaluators suggested by the candidate.

The department follows the Office of Academic Affairs suggested format for letters requesting external evaluations.

A sample letter for tenure-track faculty can be found [here](#). A sample letter for teaching faculty can be found [here](#).

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

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

In the case of faculty who have joint appointments and who teach and/or perform service in more than one academic unit, the chair of the Promotion and Tenure Committee will solicit letters from officials in the other units who are familiar with the candidate's contribution to those units.

## **7 APPEALS**

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

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

## **8 SEVENTH-YEAR REVIEWS**

Faculty Rule [3335-6-05](#) sets forth the conditions of and procedures for a seventh-year review for a faculty member denied tenure as a result of a sixth year (mandatory tenure) review.

## **9 PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING**

The department has deliberately designed its language curricula on the basis of certain principles including awareness of the cultural context that informs native behavior, and the building of literacy on a secure foundation of internalized oral/aural skills. These principles entail a set of practices that faculty teaching language are expected to follow, such as distinguishing clearly between class sessions where the target language is to be used exclusively and those in which English may be the medium of instruction, providing frequent and appropriate feedback on student performance, and using appropriate materials. The department expects consistency of quality of instruction across languages and multi-section courses, grading that reflects student performance, and professional cooperation in peer critiquing of teaching.

Instructional efficacy is advanced in the department by constant dialogue and review among faculty, both senior and junior, and Graduate Teaching Associates. The dialogue is conducted both formally and informally, and evaluation of instructional activities is facilitated by certain procedures. GTAs are evaluated by faculty supervising their work. Instruction by both GTAs and faculty is evaluated by students. In addition, annual reviews of faculty assess work in undergraduate and graduate advising, new course proposals, course materials, the coordination of teaching teams (including GTAs), and in-class teaching itself. Faculty peer review of teaching aims for an informed assessment

that recognizes and encourages efforts to improve instruction. The review includes comments on the course's goals, syllabus, and teaching materials. Reviewers ascertain what the observed class hour will focus on and how these activities fit into the syllabus as a whole. A response by the faculty member reviewed can be appended to a reviewer's comments and filed together. Effective observation and comments depend on such preparatory and follow-up steps. GTAs who work under the faculty member reviewed are also asked to comment on the supervision and guidance they have received.

### ***9.1 Student Evaluation of Teaching***

Use of the online Student Evaluation of Instruction (SEI) is required in every course offered in this department. Faculty members should choose a day late in the semester when attendance is likely to be high if students will be asked to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation.

In addition to SEI, faculty members are strongly encouraged to gather discursive course evaluation from students, using one of the two departmental course evaluation forms or one developed by the faculty member. All such evaluation forms completed by students are filed in the departmental office and are included as documentation for teaching in reviewing the faculty member for promotion and tenure. Faculty should choose a day late in the semester when attendance is likely to be high to distribute the form. The instructor(s) or the GTA(s) associated with the course may not be present while students complete the evaluation forms or handle the completed evaluation forms until course grades for all students have been submitted to the Registrar. A designated person other than the instructor or the GTA for the course should return the completed forms to the departmental office in an envelope.

### ***9.2 Peer Evaluation of Teaching***

The chair oversees the department's peer evaluation of teaching process.

Each year, the Annual Review Committee for probationary faculty conducts peer evaluation of teaching for that faculty member. During the year when a faculty member is undergoing review for promotion and tenure or for promotion, the Promotion and Tenure Committee for that faculty member either conducts the peer evaluation of teaching or solicit other members of the eligible faculty to conduct the Peer Evaluation of Teaching. For associate professors not being reviewed for promotion and professors, the chair, in consultation with the faculty, solicits individual faculty members to conduct it. Faculty members outside of DEALL may be solicited to conduct a peer evaluation of teaching, if such the area of expertise, the rank of the faculty member being reviewed, or the specific nature of the course warrants such an arrangement. Reasonable efforts are made to distribute the responsibility for peer evaluation of teaching among the eligible faculty to support and encourage attention to the quality of teaching in the department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

The responsibilities of the peer reviewers of teaching are as follows:

- To review the teaching of probationary tenure-track, teaching, and associated faculty at least twice per year during the probationary period, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned in the course of each probationary year;
- To review the teaching of tenured associate professors and nonprobationary associate teaching professors at least once per year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a three-year period;

- To review the teaching of tenured professors and nonprobationary teaching professors at least once every four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review;
- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching; and
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [Michael V. Drake Institute for Teaching and Learning](#).

The probationary faculty member will be provided with a copy of these evaluations and can, should he or she wish, prepare a written response to the evaluation. The written response is placed in the candidate's dossier.

Faculty members being reviewed for promotion should submit a total of at least five peer evaluations of teaching of courses that represents the breadth of the candidate's teaching profile from the three years prior to the year they are being reviewed.

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

Regularly scheduled peer evaluation of teaching (i.e. the first three situations listed above) is comprehensive and includes, in addition to classroom visitation, review of course syllabi, instructional materials, assignments, and exams. The reviewer is encouraged to video record the class at the time of the visitation. Class visits may be made unannounced. However, at the beginning of the semester, the reviewer requests from the faculty member a list of dates on which visitation would be inappropriate because exams are being given, guest speakers are scheduled, etc.

Peer review focuses particularly on aspects of teaching that students are less qualified than faculty to evaluate, such as appropriateness of curricular choices given the goals of the course (e.g., survey as opposed to required major course), implicit and explicit goals of instruction, quality and effectiveness of testing tools, and appropriateness of approach relative to current disciplinary knowledge. As part of its evaluation the reviewer may examine copies of the faculty member's SEI summaries from recent years, and where student opinion is mixed to negative, the peer reviewer's attempts to ascertain the reasons. In so doing, peer reviewers are to bear in mind that they have observed only one or a few classes out of the semester, and moreover have a very different level of knowledge compared to students. Consequently their assessment may differ considerably from that of the majority of students.

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

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

## **10 REVISION AND AMENDMENT PROCEDURES**

Revisions to this document must be consistent with the purpose of the document and with appropriate university

rules and policies. Within the first year of his or her appointment or reappointment, the Chair shall review the Appointments, Promotion, and Tenure document and, in consultation with the faculty, draft revisions, as appropriate. At other times, any tenure-track faculty member of the department may propose amendments. Revisions and amendments shall be adopted after consultation with the tenure-track faculty. The chair will then forward the revised Appointment, Promotion, and Tenure document to the College, and then to the Office of Academic Affairs.