

**Department of African American and
African Studies**

APPOINTMENTS, PROMOTIONS, AND TENURE

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Department of African American and African Studies**

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APPOINTMENTS, PROMOTIONS, AND TENURE
Criteria and Procedures for the Department of
African American and African Studies

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I. PREAMBLE

This document is a supplement to Chapter 6 of the Rules of the University Faculty (Additional Rules Concerning Faculty Appointments, Reappointments, Promotion, and Tenure), the Office of Academic Affairs procedural guidelines for promotion and tenure reviews, and any additional policies established by the Division and the University. Should those rules and policies change, the Department shall follow those new rules and policies until such time as it can update this document to reflect the changes. In addition, this document will be reviewed, and either reaffirmed or revised, at least every four years on appointment or reappointment of the Department chair.

This document must be approved by the executive dean of the college and the provost of the University before it can be implemented. It sets forth the Department's mission and, in the context of that mission and the missions of the college and University, its criteria and procedures for faculty appointments and its criteria and procedures for faculty promotion, tenure, and rewards, including salary increases. In approving this document, the executive Dean and the Provost accept the mission and criteria of the Department and delegate to it the responsibility to apply high standards in evaluating continuing faculty and candidates for positions in relation to its mission and criteria.

The faculty and the administration are bound by the principles articulated in the following Faculty Rule:

3335-6-01 *General considerations*

- (A) *Peer review provides the foundation for decisions regarding faculty appointment, reappointment, and promotion and tenure (except when the provisions of paragraph (H) of rule 3335-6-03 of the Administrative Code are invoked.) Peers are those faculty who can be expected to be most knowledgeable regarding an individual's qualifications and performance--normally tenure initiating unit colleagues. Because of the centrality of peer review to these review processes, faculty vested with responsibility for providing peer review have an obligation to participate fully and knowledgeably in review processes, to exercise the standards established in faculty rule 3335-6-02 of the Administrative Code and other standards specific to the academic unit and discipline, and to make negative recommendations when these are warranted to maintain and improve the quality of the faculty. Recommendations by the faculty vested with the responsibility for providing peer review will be accepted unless they are not supported by the evidence presented regarding how the candidate meets the standards established in faculty rule 3335-6-02 of the administrative code and other standards specific to the academic unit and discipline. When, for the reasons just stated, a decision regarding faculty appointment, reappointment, or promotion and tenure differs from the recommendation of the faculty, the administrator or body making that decision will communicate in writing to the faculty body that made the recommendation the reasons that the recommendation was judged not to be supported by the evidence.*

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

This document shall be made available to all present and prospective members of the department and a copy shall be deposited in the office of the executive dean of the college and in the office of the executive vice president and provost.

II. THE DEPARTMENT'S MISSION AND VISION STATEMENT

MISSION STATEMENT

The mission of the department is to produce and disseminate knowledge and understanding about African peoples globally. The department offers students from all communities to acquire the theories, practices, methodologies, critical thinking, and communication skills necessary to master an interdisciplinary approach to the historical, cultural, social, psychological, political, and economic experiences of people of African descent throughout the world.

To foster and maintain an intellectual environment in our community on and off campus, assisting students and community members in their development as lifelong learners and informed citizens, seeking to better the community, nation, and world.

VISION

We envision a Department of African American and African Studies at The Ohio State University that ranks among the top Africana Studies departments in the nation, recognized for the quality and character of its graduates, the outstanding teaching and scholarship of its faculty, and the outreach and engagement of its Community Extension Center.

III. DEFINITIONS

A. Committee of the Eligible Faculty

1. Tenure-track Faculty

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

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

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

2. 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 review of that candidate.

3. 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 dean, will appoint a faculty member from another department within the college.

B. Quorum

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

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

C. Recommendation from the Committee of the Eligible Faculty

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

Absentee ballots and proxy votes are not permitted.

2. Appointment

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

2. Reappointment, Promotion and Tenure, and Promotion

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, and promotion is secured when a simple majority of the votes cast are positive.

IV. APPOINTMENTS

A. Criteria

1. Tenure-track Faculty

- a) **Instructor**. Where an offer is made at the rank of assistant professor but the appointee is yet to complete the required terminal degree at the onset of the appointment, she or he will start at the rank of instructor, with the understanding that promotion to assistant professor will follow the completion of the terminal degree. An appointment at the instructor level is limited to three years. When an instructor has not completed

requirements for promotion to the rank of assistant professor by the end 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 without a formal request for an extension of the probationary period. In addition all probationary faculty members have the option to be considered for early promotion.

b) **Assistant Professor**. As a matter of policy, the department is committed to making only faculty appointments that are demonstrably likely to enhance its quality. To this end, a minimum requirement for appointment or promotion to the rank of assistant professor or higher is an earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience, which reflect a strong potential to attain tenure and advance through the ranks. Appointment at the rank of assistant professor is always probationary , with mandatory tenure review occurring in the sixth year of service . Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit , which requires approval of the Office of Academic Affairs , may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

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

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

2. Associated Faculty

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

a) **Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor**.

Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the department , such as teaching a course or serving on graduate student committees, for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for

appointment of tenure-track faculty . Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

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

c) Senior Lecturer. Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate 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. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer should generally not exceed one year.

d) Assistant Professor, Associate Professor, Professor with FTE below 50%. Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1–49% FTE) or uncompensated (0% FTE). 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.

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

3. Courtesy Appointments for Faculty. Because the Department of African American and African Studies is a multidisciplinary academic unit, it is very likely that the subjects and issues in which it is interested would also be engaged by other members of the university's tenure-track faculty who are housed in other academic units. Where, in the judgment of the faculty, such colleagues have demonstrated substantial involvement in the department and can be expected to continue that involvement in the future, it may offer courtesy appointments to them.

B. Procedures

1. Tenure-track Faculty

a) When a faculty position becomes open in the Department of African American and African Studies, the chair shall appoint for that position an ad hoc search committee comprised of tenured and tenure-track faculty from the department. The search committee shall assist the chair in drafting a statement of professional qualifications and responsibilities. Normal procedures for advertising the position, setting deadlines, soliciting applications, and the collection of dossiers are then to be followed. A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions.

Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance . Search procedures must be consistent with the university policies set forth in the most recent update of A Guide to Effective Searches (www.hr.osu.edu/hrpubs/guidesearches.pdf). When the deadline is reached, dossiers of all candidates are to be made available to all committee members in the department's office under the supervision of the administrative assistant. Meetings of the search committee shall be convened at dates and times announced in advance by the chair of the search committee.

- b) All faculty who are not formally members of the search committee may review all dossiers and may submit names of potential candidates to any member of the search committee.
- c) The names of the candidates on the shortlist will be submitted to the entire department; their curriculum vitae will be reproduced and made available to all faculty.
- d) To the extent possible, candidates shall be interviewed in person on campus and requested to publicly deliver a formal presentation on a topic related to their area(s) of specialization. Candidates may also be scheduled to lecture before African American and African Studies classes, whenever possible.
- e) When all finalists have been interviewed, the search committee shall convene, deliberate, and rank the candidates. The voting procedure to be followed is the following: (a) faculty shall use a secret ballot, and assign "1" to the candidate ranked first, "2" for the second ranked candidate, and so forth; (b) ballots will be tallied by the chair of the search committee; and (c) the candidate with the lowest cumulative vote will be recommended for the position.
- f) The deliberation of the search committee and its recommendation will be transmitted to the chair of the department. He/she will then present them at a full meeting of the department for a final vote. The vote will be carried out by written confidential ballot.
- g) The chair of the department and the executive dean of the College of Arts and Sciences shall be responsible for conducting all negotiations culminating in the appointment.
- h) All offers at the associate professor and professor ranks, with or without tenure, and all offers of prior service credit require the prior approval of the college and Office of Academic Affairs. Offers to foreign nationals require prior consultation with the Office of International Affairs.

2. Associated Faculty

- a) The appointment, review, and reappointment of all compensated associated faculty is decided by the department chair in consultation with the department Executive Committee.
- b) Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department and is decided by the department chair in consultation with the department Executive Committee.
- c) Compensated 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. Visiting appointments may be made for one term of up to three years or on an annual basis for up to three consecutive years.

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

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

f) When a visiting faculty position is to be filled, the procedures outlined immediately above will generally be followed, except that when special circumstances make it necessary, the chair, in consultation with the faculty, may deviate from these procedures in making such appointments. A visiting professor can be for no more than three (3) years.

g) In fulfilling the teaching mission of the department, it may be necessary, on occasion, to appoint auxiliary faculty, such as lecturers. On such occasions, the chair, in consultation with those members of the faculty with expertise in the subject area(s) in which a lecturer is to be appointed, may make such an appointment, which generally will not exceed one (1) year, but can be renewed.

3. Courtesy Appointments

Nominations for non-salaried courtesy appointments of tenure-track faculty members may be made by any member of the department's faculty to the chair, who in turn will present relevant information about the nominee(s) to the faculty. By simple majority vote, the faculty may accept or reject such nominations. Individuals who accept courtesy appointments in the department have no rights or privileges in decision-making in the department. While they may be granted specific rights on a case-by-case basis (e.g., the right to attend faculty meetings as non-voting participants), for the purpose of this document, they are not considered members of the department's faculty.

V. ANNUAL REVIEW PROCEDURES

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

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

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. This material must be submitted to the department chair no later than the final day of autumn semester classes.

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

A. Procedures for Probationary Faculty

1. At the time of appointment, probationary faculty shall be provided with all pertinent documents detailing departmental, division, and university promotion and tenure policy and criteria. If these documents are revised during the probationary period, probationary faculty shall be provided with copies of the revised documents.
2. The chair of the department, in consultation with senior faculty (associate and full), shall review all untenured faculty in each year of the probationary service. The department chair shall inform probationary faculty members at the time of initial appointment and in a timely fashion each year thereafter when the annual review will take place. Each probationary faculty will submit for review an annual activity report, updated CV, SEI reports, peer evaluation of teaching, course syllabi, and copies of publications or samples of work in progress. The annual review enables the department to communicate its performance expectations to the probationary faculty, to evaluate progress toward those expectations, and to avoid reappointment in cases where the candidate is not likely to earn promotion and tenure.

3. Purposes of Annual Review of Probationary Tenure-Track Faculty

The annual review determines whether a probationary appointment should be renewed, in accordance with Faculty Rule 3335-06-03 (C) and OAA policies described in the Policies and Procedures Handbook. The annual review evaluates the performance of a non-tenured faculty member in the areas of teaching, research, and service with regard to expectations for continued employment and eventual candidacy for tenure. The annual review is further intended to encourage and advise the faculty member on his/her professional development.

4. Review Organization

Annual reviews will be conducted by a committee of the senior professoriate (associate and full professors) in the department.

5. Communication of Results

At the completion of each annual review, the department chair shall provide the probationary faculty member and the dean of the division with a written assessment of the faculty member's performance and professional development.

At the conclusion of the annual review, the department chair shall arrange a conference with the faculty for the purpose of discussing the annual review.

The faculty member shall also receive notice that he/she may respond in writing to any or all of the points discussed during the conference, such response (if any) will be included in the department files.

6. Procedures for Fourth-Year Review

The fourth-year review of probationary faculty shall follow the same process as the review for tenure and promotion at the department and college levels (see Section VI Review for Promotion and Tenure for Promotion) with the following exception: the department may choose not to solicit external letters of evaluations and review by the college Committee shall be optional when the department recommends the renewal of the appointment. Renewal of the appointment of a probationary faculty member for the fifth year requires the approval of the executive dean of the college.

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 the eligible faculty do not feel otherwise capable of evaluating the scholarship without outside input.

7. Probationary Faculty (Regional Campuses)

Probationary faculty on regional campuses shall be reviewed by the regional campus dean/director and by the Columbus campus. The regional campus review, which focuses mainly on teaching and service, should take place first. The dean/director's report of that review shall be forwarded to the department chair with a copy to the executive dean. The department review shall focus on the candidate's scholarly work and will consider the regional dean/director's report on teaching and service. The department chair shall give a written review to the faculty member and a copy to the dean/director.

In the event of divergence in performance assessment between the regional campus and the department, the department chair discusses the matter with the regional campus dean /director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

8. Exclusion of Time from Probationary Period

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

B. Procedures for Tenured Faculty

The annual reviews of tenured faculty shall be the responsibility of the department chair. Each year the department chair shall solicit from each tenured faculty member a completed Annual Faculty Activity Report, detailing his or her publications, research, teaching, and service for the previous calendar year. In addition, faculty members shall submit a list and brief description of courses taught, including figures on enrollment and the nature of the class (e.g., "writing class," graduate seminar, etc.), together with copies of Student Evaluation of Instruction reports and other evaluation forms, peer evaluations of teaching, and faculty commentary on those reports and evaluations. Faculty may also submit copies of publications, readers' reports, and published reviews of the faculty member's work, any work-in-progress, and any other information that might be useful in assessing a faculty member's contribution to the department. These materials solicited by the chair will be made available to the appropriate review sub-committee.

Faculty on leave for part or all of an academic year shall be required to submit an Annual Activity Report. If an individual is away for part of an academic year, the evaluation of teaching shall be based on any course(s) taught while present. A similar procedure shall be followed for evaluation of service.

The department chair is required to provide each faculty member with a written annual review and to meet with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

C. 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 or her performance, future plans, and goals. The department chair's recommendation on renewal of the appointment is final. If the recommendation is to renew, the department chair may extend a multiple-year appointment.

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

VI. MERIT SALARY INCREASES AND OTHER REWARDS

A. Criteria

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

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

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

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

B. Procedures

The department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. In formulating recommendations, the department chair consults with the department Executive Committee. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the department chair 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 discuss dissatisfaction with their salary increase with the department 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.

C. Documentation

The annual performance review of every faculty member requires that all documentation described below, including the two summary documents, be submitted to the department chair no later than the final day of autumn semester classes.

1. updated CV , which will be made available to all faculty in an accessible place
2. updated Office of Academic Affairs dossier outline, Volume 3
(<http://oaa.osu.edu/handbook.html>)

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

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

The time period covered by the documentation described below is the previous 12 months.

1. Teaching

- a. 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 (details provided in section X of this document).

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

Other relevant documentation of teaching as appropriate.

2. Scholarship

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

Documentation of grants and contracts received.

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

3. Service

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

VII. REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION

A. Criteria

1. Promotion to Rank of Associate Professor with Tenure

To recommend the awarding of tenure and promotion to the rank of associate professor, the faculty member will demonstrate excellence as a teacher, as a scholar, and as one who provides service as befits a senior faculty member at a major research institution.

a) Faculty members shall demonstrate an ability to effectively teach at the undergraduate and graduate levels, advise majors, and develop syllabi and courses that further the department's instructional mission. Teaching effectiveness will be measured by student evaluations, peer evaluations (two per year), awards, and other forms of recognition supported by the faculty member's statement on teaching in their dossier.

b) All review committees at all levels place a great importance on research and productivity. All candidates for promotion must demonstrate excellence in this area. Being a multidisciplinary department, we recognize that there are various forms of scholarly activity and varying results of research efforts. Typically, a candidate for promotion to the rank of associate professor with tenure will be expected to present a book published (or in production) by a scholarly press with a strong reputation as well as a number of articles that demonstrate original and important scholarship in the field that have been published in refereed journals. Additional evidence of an active research program may also include textbooks and refereed articles that incorporate or present theoretical ideas or advances in their discipline or innovative instructional software and other technology-based instructional materials and systems. In the performing arts, the candidate will be expected to demonstrate excellence in creativity or performance in their respective discipline. In certain sub-disciplines in the department, such as African languages, the publication of substantial articles may represent effort and achievement comparable to the publication of a book in other disciplines. All candidates must also show other evidence of scholarly production in

the form of published articles in refereed journals, presentations at scholarly meetings, and the gaining of or efforts to gain outside funding for research. Finally, recognition may also be given to works of translation.

c) Faculty members are expected to perform service in the department, the division, the university, and the community.

2. Promotion to the Rank of Professor

The criteria for promotion to the rank of professor are distinguished standing, based on a sustained record of scholarship that is recognized nationally and internationally; excellence in teaching; and leadership in service. Given the multi-disciplinary make-up of the department, there are various forms of scholarly activity and varying results of research efforts. Typically it is expected that one or more additional books, since promotion to associate professor, will be published or in production and there should be regular publication in refereed journals and/or peer-reviewed works. The candidate will also be expected to demonstrate a continuous record of participation at conferences where he or she will have presented papers. Evidence of an active research program may also include instructional software as well as textbooks and refereed articles beyond that which earned promotion to the rank of associate professor. In the performing arts, the candidate will be expected to demonstrate excellence in creativity or performance in their respective discipline. For candidates in sub-disciplines in the department, such as African languages, more weight may be attributed to the publication of substantive articles since promotion to associate professor. Candidates must continue to show other evidence of additional scholarly productivity in the form of articles in major refereed journals and/or peer-reviewed works, presentations at scholarly meetings, and the gaining of or efforts to gain outside funding for research. Finally, recognition may also be given to works of translation.

3. Regional Campus Faculty

To recommend the awarding of tenure and promotion to the rank of associate professor or promotion to professor, the criteria will generally be the same as outlined in VI.A and VI.B except that due regard will be given to the following considerations: (1) the primary mission of the regional campuses is undergraduate teaching, (2) the teaching and service responsibilities of regional campus faculty are more substantial than those of the faculty on the Columbus campus, (3) regional campus faculty do not have graduate teaching associates who assist them in fulfilling their teaching obligations, and (4) a faculty member on a regional campus generally does not have access to research facilities comparable to those available to the faculty on the Columbus campus.

B. 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 (<http://trustees.osu.edu/rules/university-rules.html>) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](http://oaa.osu.edu/handbook.html) (<http://oaa.osu.edu/handbook.html>). The following sections, which state the responsibilities of each party to the review process, apply to all faculty tracks in the department.

1. Candidate Responsibilities

Candidates are responsible for submitting a complete, accurate dossier fully consistent with the Office of Academic Affairs guidelines. 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.

If external evaluations are required candidates are responsible for reviewing 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.)

2. Eligible Faculty Responsibilities

The responsibilities of the members of the eligible faculty are as follows:

- a) To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- b) To attend and participate in meetings. Committee members are required to be present at the meeting unless extenuating circumstances prevent them from doing so and, in such cases, a letter of explanation must be submitted to the chair of the Promotion and Tenure Committee. Attendance can be via teleconference or Skype only for a committee member unable to be physically present at the meeting and will not prevent the member from voting. However, if committee members are not able to be present, only eligible voters present at a meeting can vote. The chair of the Promotion and Tenure Committee will conduct the meetings and will present the evidence to committee members in a fair and objective manner. Committee members will consider the evidence on research, teaching, and service in their deliberations and evaluation of the candidate
- c) To review this document annually and to recommend proposed revisions to the faculty.
- d) To consider annually, in spring semester, 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 two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 1. 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.
 2. A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete

documentation, the individual should be advised that such a review is unlikely to be successful.

3. Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the department chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a “green card”). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.

4. 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.

3. Responsibilities of Chair of the Eligible Faculty (P and T chair)

a) Late Spring: Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee’s responsibilities are described in the Office of Academic Affairs annual procedural guidelines.

b) Late Spring: Solicit and suggest names of external evaluators to the department chair.

c) 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 in the dossier before the formal review process begins.

d) Meet with each 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.

e) Write a report on each case following the faculty meeting, 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.

f) Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.

g) 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.

4. Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- a) Where relevant, to verify the prospective candidate's residency status . Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department .
- b) **Late Spring Semester:** To 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.)
- c) To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- d) To 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.
- e) To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- f) **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- g) To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- h) To inform each candidate in writing after completion of the department review process:
1. Of the recommendations by the eligible faculty and department chair .
 2. Of the availability for review of the written evaluations by the eligible faculty and department chair .
 3. Of the opportunity to submit written comments on the above material, within ten days from 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.
 4. To provide a written response to any candidate comments that warrant response for inclusion in the dossier .
 5. To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.

6. To 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 tenure-initiating unit by the date requested.

5. Procedures for Regional Campus Faculty

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

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

6. External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research appointment contract renewals and promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for clinical faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical faculty member will be made by the department chair after consulting with the candidate and the chair of the Promotion and Tenure Committee.

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

- a) Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, 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, and institutional affiliation. This department will only solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- b) Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

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

As described above, a list of potential 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. Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

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

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what, if any, action is warranted (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.

C. Documentation

1. Teaching

The Department of African American and African Studies is dedicated to the highest standards of undergraduate and graduate teaching. Evaluation of teaching on a regular basis provides a means of ensuring that faculty adhere to this fundamental aspect of the department's mission.

Evidence of teaching will be obtained from undergraduate and graduate students' evaluations of teaching and from written evaluations by tenured faculty based on classroom observations. Two peer evaluations are expected each year of probationary faculty and two peer evaluations are expected each year in the three years before a candidate comes up for promotion to full professor. The faculty member under evaluation must be informed in advance of the visit. The visitor will evaluate the faculty member's teaching effectiveness to the best of the visitor's ability, including the organization and communication of course information and interaction with students. More detailed criteria for evaluating teaching effectiveness may be established by the Promotion and Tenure Committee. Evidence of teaching may also include the following: interviews by members of the Promotion and Tenure Committee, interviews with graduate students and department undergraduate majors, and critiques of the organization and content of course syllabi.

2. Scholarship

Research performance and potential will be evaluated on the basis of scholarly productivity and from evidence of work in progress. Both of these are to be judged by persons on the Promotion and Tenure Committee and/or by individuals outside the department and the university. The

criteria of evaluation will be significant contribution to knowledge and scholarship and, where appropriate, to the understanding of important issues affecting the community.

- a) Scholarly productivity will be understood to include books, book chapters, articles, reviews, theatrical productions, media productions, visual arts exhibitions, musical arrangements and compositions, and other scholarly works. Published works will be evaluated with regard to kind, scope, and quality. Books, articles, etc., based on original research have primary importance as evidence of scholarly achievement and development. Proposals for funding individual and/or collective research projects may also be considered under this category.
- b) Papers and participation in panels or symposia at scholarly conferences will be considered for evaluation.
- c) Recognition will be given to prizes, awards, grants, or fellowships; invitations to deliver public lectures in the field of the candidate's scholarship; and invitations to teach at other universities.

3. Service

Service is one of the three major areas of activity by which faculty are judged in the determination of promotion, tenure, and salary increases. Service includes activities (other than research and teaching) that are beneficial to an individual's department, students, the division, the university, the academic world, and the community at large.

"Academic Service" is defined as:

- a) work with students as an academic advisor or in helping individual students in areas that are related to the mission of the department.
- b) committee work performed as a contribution to the effective functioning of the department.
- c) assignments outside formal committee work that are nevertheless essential to the work of the department and that need to be performed by individual faculty members.
- d) service to the academic world may include service in state, regional, and national professional organizations in the individual's academic field, as office-holder, member of a committee, or in ad hoc assignments on behalf of the organization; editorial assignments on behalf of the organization; and work on editorial boards as referee for scholarly journals or for faculty members under review at other universities.
- e) public and community service include, but are not limited to, teaching at the department's Community Extension Center, volunteering for community activities, participating in or leading discussions arising out of lectures by invited guests, appearing as a guest or hosting a radio program, and delivering lectures to schools and community groups in the state and the nation.

VIII. APPEALS

The procedures for appeals are outlined in Faculty Rules 3335-5-05 and 3335-6-05.

Section 3335-6-05 of the Rules of the University Faculty sets forth the general criteria for appeals of negative promotion and tenure decisions. Section 3335-6-05 also sets forth details for appeals alleging improper evaluation. These sections are incorporated herein by reference and a faculty member who deems it necessary to do so may invoke their provisions.

IX. SEVENTH-YEAR REVIEWS

Faculty Rule 3335-6-05 (B) 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 review and is incorporated herein by reference. It may be invoked by a faculty member who deems it necessary to do so.

X. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

A. Student Evaluation of Instruction (SEI)

SEIs are routinely administered online each semester. In addition to the strictly numerical SEIs, space will be provided for discursive comments by the students about the class and the instructor. Candidates may also develop questions, approved by the department chair, to solicit discursive comments from students.

The department chair shall review the numerical summaries of the SEIs and discursive comments each semester, so that he/she can keep abreast of progress made by all instructors in their teaching and be aware of any problems that may be developing. Copies of all SEIs will be retained in the department office for use in promotion and tenure decisions, annual reviews, merit pay decisions, and for other evaluative purposes.

B. Peer Review

Through classroom observation and inspection of syllabi and teaching materials, peer review of teaching should be conducted for all assistant professors at least twice per year and at least once per year for associate professors. Written reports of these class visits shall be provided to the chair and the visitor, who shall be chosen by the chair in consultation with the instructor and shall discuss the results of the visit with the instructor. Copies of all peer evaluations shall be retained in the department for use in promotion and tenure decisions, annual reviews, merit pay increases, and other evaluative purposes.

Faculty will have the right of response to the contents of both student evaluations and peer reviews. Where a faculty member chooses to exercise such right, a record of the response will be kept in his/her dossier.