

**APPOINTMENTS, PROMOTION AND TENURE  
 CRITERIA AND PROCEDURES FOR THE 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 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, <http://trustees.osu.edu/rules/university-rules/rules6.html>; the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook, <http://oaa.osu.edu/handbok.html>; and other policies and procedures of the college and university to which the department and its faculty are subject.

Should those rules and policies change, the department will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the department chair.

This document must be approved by the executive 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 executive dean and the Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335- 6-01, <http://trustees.osu.edu/rules/university-rules/rules6.html>, of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule 3335-6-02, [www.trustees.osu.edu/rules/university-rules.html](http://www.trustees.osu.edu/rules/university-rules.html) and other standards specific to this department and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

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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/>.

## **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 and competence in 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.

In support of its mission and to fulfill its commitment, all faculty members of the department are expected to engage in the interrelated and complementary activities of research, teaching, and service. The department expects that each of its faculty members is productive in all three areas, although more focus may be on one than on another at different times.

## **3 DEFINITIONS**

### ***3.1 Committee of the Eligible Faculty***

#### **3.1.1 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. The eligible faculty for 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 divisional deans 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.

#### **3.1.2 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.

#### **3.1.3 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 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.

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### ***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 promotion and tenure or promotion case that arises in the department in a given year. Each P&T Committee consists of three eligible faculty members. To the extent possible, a P&T Committee for promotion or promotion and tenure to associate professor should include at least one full professor. One of the committee members serves as the committee chair and another, as a Procedure 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. 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.

#### **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.

#### **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 is positive.

## **4 APPOINTMENTS**

The types of faculty appointments in the Department of East Asian Languages and Literatures include tenure-track 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

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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. The department will make every effort to avoid such appointments. 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 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 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.

### **4.1.1.2 Assistant Professor (without tenure)**

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.

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 (with tenure) and Professor**

It is expected that an individual appointed to the Department of East Asian Languages and Literatures faculty as an associated with tenure 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.

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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, i.e. 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.

### **4.1.1.4 Professor (with tenure)**

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 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 courtesy appointments must be reviewed and approved by the College of Arts and Science. Courtesy appointments are handled at the department level.

#### **4.1.2.1 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 regular tenure-track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular tenure-track faculty. Reappointment of faculty in this category requires annual review. Faculty members may contact the department chair to suggest new appointments or renew previous ones.

#### **4.1.2.2 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.

#### **4.1.2.3 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 auxiliary faculty with regular titles is determined by applying the criteria for appointment of regular tenure-track faculty. Auxiliary faculty members with regular titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular tenure-track faculty.

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### 4.1.2.4 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.

### 4.1.3 COURTESY APPOINTMENTS FOR REGULAR 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 Volume 1 in the Office of Academic Affairs *Policies and Procedures Handbook*, <http://oaa.osu.edu/policiesprocedureshandbook.html>, 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 be consistent with the university policies set forth in the most recent update of A Guide to Effective Searches, <http://hr.osu.edu/hrpubs/guidesearches.pdf>.

Searches for tenure-track faculty proceed as follows:

The executive 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 executive 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.

The search committee shall:

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- 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.
  - Develops a search announcement for internal posting in the university Job Postings through the Office of Human Resources Employment Services ([www.hr.osu.edu/](http://www.hr.osu.edu/)) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
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- Develop and implement a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that advertisement appears in a location likely to be read by qualified potential applicants. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a field-specific nationally circulated professional journal. If the advertisement appears on-line, it must appear for 30 calendar days and documentation for the advertisement must include the start and end days of its posting on-line as well as the text of the advertisement.
- 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 interview. The search committee chair, assisted by the department office, arranges on-campus 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 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 executive 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.

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 interview(s), the committee, taking into consideration input by faculty members and graduate students, formulates a recommendation about each candidate and presents it to the eligible faculty in the



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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.

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

### **4.2.2 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 auxiliary faculty positions. The appointment, review, and reappointment of all compensated auxiliary faculty is decided by the chair in consultation with the faculty and must be approved by the dean. The auxiliary 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. The chair reviews and recommends to the dean of the College of Arts and Sciences reappointment of all compensated auxiliary faculty in consultation with the regular faculty. 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 regular 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.

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.

### **4.2.3 COURTESY APPOINTMENTS FOR REGULAR FACULTY**

Any member of the department faculty may propose a 0% FTE (courtesy) appointment for a regular Ohio State faculty member from another tenure unit if that faculty member meets the criteria for such an appointment as stated in Section 4.1.3. After discussion and approval by the regular 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 REVIEW PROCEDURES**

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

The annual reviews of every faculty member are based on expected performance in teaching, research, and 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 documentation required for the annual performance review of every faculty member is described under MERIT SALARY INCREASES in Section 6.3. This material must be submitted to the department chair no later than January 31, except in the cases of the fourth-year and sixth-year review and review for promotion to the rank of full professor. In these latter cases, the materials must be submitted by the designated date during the autumn semester.

The department chair is required (per Faculty Rule 3335-3-35, <http://trustees.osu.edu/rules/university-rules/rules3.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/rules5.html>) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

### **5.1 PROBATIONARY TENURE-TRACK FACULTY**

Procedures for the annual reviews of probationary tenure-track faculty are governed by Faculty Rule 3335-6-04, <http://trustees.osu.edu/rules/university-rules/rules6.html> 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.

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### 5.1.1 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 Report documents prepared by the probationary faculty.
- 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: orally 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

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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 executive dean.

If the department chair recommends nonrenewal, the executive dean, 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 executive dean in advance of being sent.

### **5.1.2 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 7.2), 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; (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 four ways: (a) 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; (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 Procedural Oversight Representative.

At the conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04, <http://trustees.osu.edu/rules/university-rules/rules6.html>) 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 executive dean's designee for the review.

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

Faculty Rule 3335-6-03(D), <http://trustees.osu.edu/rules/university-rules/rules6.html>, provides that an untenured regular 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/policiesprocedureshandbook.html>.

## **5.2 TENURED FACULTY**

Full 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 full professors to conduct the Peer Review of Teaching for the associate professor. When there are no full professors in the department other than the

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chair, the chair, in consultation with the divisional dean, solicits a full professor from another unit to conduct the Peer Review of Teaching. Full 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 full 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 full professor must by March 15 notify the chair of their interest in going through with a non-mandatory review. They must provide the full 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 6.3. for documentation.). The full 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. The chair prepares a written evaluation of the faculty member's performance and meets to discuss the evaluation. 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.

## **6 MERIT SALARY INCREASES AND OTHER REWARDS**

### **6.1 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, research, and service are assessed in accordance with the same criteria that form the basis for promotion decision. The time frame for assessing performance will be the past 36 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 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.

### **6.2 PROCEDURES**

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.

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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.

### 6.3 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. Faculty members undergoing fourth-year review, review for promotion and tenure, or review for promotion to full 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.

- Updated *Curriculum Vitae*, which will be made available to all faculty in an accessible place.
- Updated Office of Academic Affairs dossier outline, <http://oaa.osu.edu/assets/files/documents/Dossier11.pdf>.

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 7.3). 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 being reviewed 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 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.

#### 6.3.1 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 (details provided in the Appendix to this document).
- Copies of pedagogical materials developed and regularly used in DEALL courses, though not published for a wider audience, such as I.I. lesson plans.
- Evidence of national reputation for teaching, such as awards, workshop invitations, and teaching-related presentations.
- Other relevant documentation of teaching as appropriate.

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### 6.3.2 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.

### 6.3.3 Service

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

## 7 PROMOTION AND TENURE AND PROMOTION REVIEWS

Faculty Rule 3335-6-02, <http://trustees.osu.edu/rules/university-rules/rules6.html>, 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.

### 7.1 CRITERIA

#### 7.1.1 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.

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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 a commitment of lifetime employment. 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.

<http://www.aaup.org/report/statement-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.

### **7.1.1.1 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.



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- 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.
- Translations 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

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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.

### **7.1.1.2 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 auxiliary 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.

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### **7.1.1.3 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.

### **7.1.2 Promotion to Professor (or Tenure at the Rank of Professor)**

Faculty Rule 3335-6-02 (C) establishes the following general criteria for promotion to the rank of full 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

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level of professional expertise and experience to one or more publics, including the university, or the regional, national, and professional communities.

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.

### **7.2 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/rules6.html>, and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews <http://oaa.osu.edu/assets/files/documents/annualreview.pdf>. The following sections, which state the responsibilities of each party to the review process, apply to all faculty tracks in the department.

Fourth-year reviews follow the same procedures with one exception: External evaluations are not solicited in fourth-year reviews unless either the department chair or the eligible faculty determine otherwise.

#### **7.2.1 CANDIDATE RESPONSIBILITIES**

Each candidate for promotion and/or tenure shall:

- a) Submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates must make sure that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline before signing the Office of Academic Affairs' Candidate Checklist.
- b) Submit a copy of the department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.
- c) If external evaluations are required, review, 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.)

#### **7.2.2 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

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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, <http://trustees.osu.edu/rules/university-rules/rules6.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.
  - iii. 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.
  - iv. 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 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.

### **7.2.3 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.

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- 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.

### **7.2.4 DEPARTMENT CHAIR RESPONSIBILITIES**

The department chair shall:

- a) Where relevant, verify the prospective candidate's residency status. Faculty who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure may not be awarded as the result of a mandatory review until permanent residency status is established. Faculty not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- b) Mid spring: Form Promotion and Tenure committee and appoint its chair, in consultation with the committee members.
- c) 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.)

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- d) Make adequate copies of 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.
- e) 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.
- f) 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.
- g) Mid autumn: Provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- h) Meet with the eligible faculty to explain any recommendations contrary to the recommendation of the eligible faculty.
- i) 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.
- j) Provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- k) Forward the completed dossier to the college office by that office's deadline, except in the case of auxiliary faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- l) 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 TIU by the date requested.

### **7.2.5 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:

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- 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, <http://trustees.osu.edu/rules/university-rules/rules6.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 the 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/assets/files/documents/Letter201.pdf>, 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, 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.

### **7.3 DOCUMENTATION**

Every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. 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 the candidate.

The complete dossier, including the documentation of teaching noted below, is forwarded when the review moves beyond the department. The documentation of research and service noted below is for use during the department



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review only, unless reviewers at the college and University levels specifically request it. The candidate may also submit, in addition to the core dossier, a letter of self-evaluation or self-assessment to elaborate on the statements concerning research, teaching, and service that appear in the core dossier, if such elaboration is believed to clarify the case.

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 document publication.

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.

The candidate may not solicit evaluations from any party for purposes of review.

### **7.3.1 Teaching**

For the time period since the last promotion or the last five years, whichever is less:

- 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 10 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.

### **7.3.2 Research**

For the time period since the time of hire or last promotion, whichever is less:

- 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.

### **7.3.3 Service**

For the time period since the last promotion:

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- 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.

### 8 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, <http://trustees.osu.edu/rules/university-rules/rules5.html>.

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.

### 9 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.

## 10 PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

### *10.1 Student Evaluation of Teaching*

Use of the online Student Evaluation of Instruction (SEI) is required in every course offered in this department. 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.

### *10.2 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 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

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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 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 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 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 Office of Faculty and TA Development <http://ftad.osu.edu>.

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 member 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 reviewers 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

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approach relative to current disciplinary knowledge. As part of its evaluation the reviewers may examine copies of the faculty member's SEI summaries from recent years, and where student opinion is mixed to negative, the peer reviewers 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 reviewers submit a written report to the department chair, copied to the faculty member. The faculty member may provide written comments on this report and the reviewers may respond in writing to those comments if it wishes. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier, unless the faculty member requests 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.

### **11 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 regular faculty member of the department may propose amendments. Revisions and amendments shall be adopted after consultation with the regular faculty. The chair will then forward the revised Appointment, Promotion, and Tenure document to the Office of Academic Affairs.