

1 **Appointments, Promotion, and**
2 **Tenure**
3 **Criteria and Procedures for**
4 **The Ohio State University**
5 **Department of Germanic**
6 **Languages and Literatures**

7 Revised: January 11, 2021

8
9 Approved by the Office of Academic Affairs: 04/12/2021
10

1 **Appointments, Promotion, and Tenure Criteria and Procedures**
2 **Department of Germanic Languages and Literatures**
3 **Revised: January 11, 2021**

4
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1 **I Preamble**

2
3 This document is a supplement to Chapters 6 and 7 of the [University Faculty Rules](#); the annually updated
4 procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs
5 [Policies and Procedures Handbook](#); and other policies and procedures of the college and university to
6 which the department and its faculty are subject.

7
8 Should those rules and policies change, the department will follow the new rules and policies until such
9 time as it can update this document to reflect the changes. In addition, this document must be reviewed,
10 and either reaffirmed or revised, at least every four years on the appointment or reappointment of the
11 department chair.

12
13 This document must be approved by the executive dean of the college or their delegate and the Office of
14 Academic Affairs before it may be implemented. It sets forth the department's mission and, in the context
15 of that mission and the missions of the college and university, its criteria and procedures for faculty
16 appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this
17 document, the executive dean or their delegate and the Office of Academic Affairs accept the mission and
18 criteria of the department and delegate to it the responsibility to apply high standards in evaluating current
19 faculty and faculty candidates in relation to departmental mission and criteria.

20
21 The faculty and the administration are bound by the principles articulated in Faculty Rule [3335-6-01](#) of
22 the Administrative Code. In particular, all faculty members accept the responsibility to participate fully
23 and knowledgeably in review processes; to exercise the standards established in Faculty Rule [3335-6-02](#)
24 and other standards specific to this department and college; and to make negative recommendations when
25 these are warranted in order to maintain and improve the quality of the faculty.

26
27 Decisions considering appointment, reappointment, and promotion and tenure will be free of
28 discrimination in accordance with the university's [policy on equal opportunity](#).

29
30 **II Department Mission**

31
32 The Department of Germanic Languages and Literatures has as its mission the pursuit of national and
33 international distinction in teaching, research, and public service within the scope of its expertise: the
34 Germanic languages, literatures, and cultures. In striving for this goal, the Department seeks to address
35 three main constituencies, each of which it recognizes as crucial to its mission: undergraduate students, in
36 particular those majoring and minoring in Germanic languages and literatures; graduate students at the
37 master's and doctoral levels; and, through its research and scholarly activities, the broader community of
38 interested students and scholars around the country and the world.

39
40 **III Definitions**

41
42 **A Committee of the Eligible Faculty**

43
44 The eligible faculty for all appointment (hiring), reappointment, contract renewal, promotion, or
45 promotion and tenure reviews must have their tenure home or primary appointment in the department.

46
47 The department chair, the executive dean, divisional dean, and assistant and associate deans of the
48 college, the executive vice president and provost, and the president may not participate as eligible faculty
49 members in reviews for appointment, reappointment, promotion, promotion and tenure, or contract
50 renewal.

1 **1 Tenure-track Faculty**

2
3 **Initial Appointment Reviews**

- 4
5 • For an appointment (hiring or appointment change from another faculty type) review of an assistant
6 professor, the eligible faculty consists of all tenure-track faculty in the department.
7
8 • For appointment (hiring or appointment change from another faculty type) at senior rank (associate
9 professor or professor), a review is performed and a second vote cast by all tenured faculty of equal or
10 higher rank than the position requested.
11

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

- 13
14 • For the reappointment and promotion and tenure reviews of assistant professors, the eligible faculty
15 consists of all tenured associate professors and professors.
16
17 • For the promotion reviews of associate professors and the tenure reviews of probationary professors,
18 the eligible faculty consists of all tenured professors.
19

20 **2 Conflict of Interest**

21
22 A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable
23 close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some
24 way on the candidate's services, has a close professional relationship with the candidate (dissertation
25 advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's
26 work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50%
27 of the candidate's published work since the last promotion will be expected to withdraw from a promotion
28 review of that candidate.
29

30 **3 Minimum Composition**

31
32 In the event that the department does not have at least three eligible faculty members who can undertake a
33 review, the department chair, after consulting with the executive dean or their delegate, will appoint a
34 faculty member from another department within the college.
35

36 **B Quorum**

37
38 The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty
39 not on an approved leave of absence. Faculty on approved leave are not considered for quorum unless
40 they declare, in advance and in writing, their intent to participate in all proceedings for which they are
41 eligible during the leave. A member of the eligible faculty on Special Assignment may be excluded from
42 the count for the purposes of determining quorum only if the department chair has approved an off-
43 campus assignment.
44

45 Faculty members who recuse themselves because of a conflict of interest are not counted when
46 determining quorum.
47

48 **C Recommendation from the Committee of the Eligible Faculty**

1 In all votes taken on personnel matters only “yes” and “no” votes are counted. Abstentions are not votes.
2 Faculty members are strongly encouraged to consider whether they are participating fully in the review
3 process when abstaining from a vote on a personnel matter.
4

5 Absentee ballots and proxy votes are not permitted, but participating fully in discussions and voting via
6 remote two-way electronic connection are allowed.
7

8 **1 Appointment**

9

10 A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the
11 votes cast are positive.
12

13 **2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**

14

15 A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion,
16 and contract renewal is secured when two-thirds of the votes cast are positive.
17

18 **IV Appointments**

19

20 **A Criteria**

21

22 The department is committed to making only faculty appointments that enhance or have strong potential
23 to enhance the quality of the department. Important considerations include the individual's record to date
24 in teaching, scholarship and service; the potential for professional growth in each of these areas; and the
25 potential for interacting with colleagues and students in a way that will enhance their academic work and
26 attract other outstanding faculty and students to the department. No offer will be extended in the event
27 that the search process does not yield one or more candidates who would enhance the quality of the
28 department. The search is either cancelled or continued, as appropriate to the circumstances.
29

30 **1 Tenure-track Faculty**

31

32 **Instructor.** Appointment at the rank of instructor is made only when the offered appointment is that of
33 assistant professor, but requirements for the terminal degree have not been completed by the candidate at
34 the time of appointment. The department will make every effort to avoid such appointments. An
35 appointment at the instructor level is limited to three years. When an instructor has not completed
36 requirements for promotion to the rank of assistant professor by the end of the third year of appointment,
37 the third year is a terminal year of employment.
38

39 Upon promotion to assistant professor, the faculty member may request prior service credit for time spent
40 as an instructor. This request must be approved by the department’s eligible faculty, the department chair,
41 the executive dean, and the Office of Academic Affairs. Faculty members should carefully consider
42 whether prior service credit is appropriate since prior service credit cannot be revoked once granted. In
43 addition all probationary faculty members have the option to be considered for early promotion.
44

45 **Assistant Professor.** An earned terminal degree is the minimum requirement for appointment at the rank
46 of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-
47 quality service to the department, the college and the profession is highly desirable. Appointment at the
48 rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth
49 year of service. For individuals not recommended for promotion and tenure after the mandatory review,
50 the 7th year will be the final year of employment. Review for tenure prior to the mandatory review year is
51 possible when the Committee of the Eligible Faculty determines such a review to be appropriate. The

1 granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce
2 the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

3
4 **Associate Professor and Professor.** Appointment offers at the rank of associate professor or professor,
5 with or without tenure, and/or offers of prior service credit require prior approval of the Office of
6 Academic Affairs. Appointment at senior rank requires that the individual, at a minimum, meet the
7 department's criteria in teaching, scholarship, and service for promotion to these ranks. Appointment at
8 senior rank normally entails tenure. A probationary appointment at senior rank is appropriate only under
9 unusual circumstances, such as when the candidate has limited prior teaching experience or has taught
10 only in a foreign country. A probationary period of up to four years is possible, on approval of the Office
11 of Academic Affairs, with review for tenure occurring in the final year of the probationary
12 appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

13
14 Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved
15 for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.
16 Offers to foreign nationals require prior consultation with the Office of International Affairs.

17 18 **2 Tenure-track Faculty—Regional Campus**

19
20 As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria
21 for appointment at the rank of assistant professor, associate professor, or professor are similar to those for
22 Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and
23 quality.

24 25 **3 Associated Faculty**

26
27 Associated faculty appointments may be as short as a few weeks to assist with a focused project, a
28 semester to teach one or more courses, or for up to three years when a longer contract is useful for long-
29 term planning and retention. Associated faculty may be reappointed.

30
31 **Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments
32 may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give
33 academic service to the department, such as teaching a course or serving on graduate student committees,
34 for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the
35 criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but
36 not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

37
38 **Lecturer.** Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a
39 field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction
40 is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the
41 criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed
42 one year.

43
44 **Senior Lecturer.** Appointment as senior lecturer requires that the individual have, at a minimum, a
45 doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide
46 high-quality instruction; or a Master's degree and at least five years of teaching experience with
47 documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The initial
48 appointment for a senior lecturer should generally not exceed one year.

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

1 (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for
2 appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for
3 promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.
4

5 **Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.**

6 Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members
7 on leave from an academic appointment at another institution are appointed at the rank held in that
8 position. The rank at which other (non-faculty) individuals are appointed is determined by applying the
9 criteria for appointment of tenure-track faculty. Visiting faculty members are not eligible for tenure or
10 promotion. They may not be reappointed for more than three years at 100% FTE.
11

12 **4 Emeritus Faculty**

13
14 Emeritus faculty status is an honor given in recognition of sustained academic contributions to the
15 university as described in Faculty Rule [3335-5-36](#). Full-time tenure track, clinical/teaching/practice,
16 research, or associated faculty may request emeritus status upon retirement or resignation at the age of
17 sixty or older with ten or more years of service or at any age with twenty-five or more years of service.
18

19 Faculty will send a request for emeritus faculty status to the department chair (regional campus dean for
20 associated faculty on regional campuses) outlining academic performance and citizenship. The
21 Committee of Eligible faculty (tenured associate professors and professors) will review the application
22 and make a recommendation to the department chair. The department chair will decide upon the
23 request, and if appropriate submit it to the executive dean. If the faculty member requesting emeritus
24 status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation
25 of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a
26 procedure according to Faculty Rule [3335-05-04](#), emeritus status will not be considered.
27

28 See the OAA [Policies and Procedures Handbook](#) Volume 1, Chapter 1, for information about the types
29 of perquisites that may be offered to emeritus faculty, provided resources are available.
30

31 Emeritus faculty may not vote at any level of governance and may not participate in promotion and
32 tenure matters.
33

34 **5 Courtesy Appointments for Faculty**

35
36 Occasionally the active academic involvement in this department by a tenure-track, clinical, or research
37 faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy)
38 appointment in this department. Appropriate active involvement includes research collaboration, graduate
39 student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy
40 appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.
41

42 **B Procedures**

43
44 See the Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the
45 Office of Academic Affairs [Policies and Procedures Handbook](#) for information on the following topics:
46

- 47 • recruitment of tenure-track, clinical, and research faculty
- 48 • appointments at senior rank or with prior service credit
- 49 • hiring faculty from other institutions after April 30
- 50 • appointment of foreign nationals

- letters of offer

1 Tenure-track Faculty

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

Searches for tenure-track faculty proceed as follows:

The Executive Dean of the college or their delegate provides approval for the department to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The department chair appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the department. At least one student will also be appointed to the search committee.

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

The search committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the University Personnel Postings through the [Office of Human Resources](#) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. 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.
- Develops and implements 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 advertise using at least one 30-day online ad in a national professional journal. 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.
- Screens applications and letters of recommendation and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this judgment, on-campus interviews are arranged by the search committee chair, assisted by the department office. If the faculty does not agree, the department chair in consultation with the

1 faculty determines the appropriate next steps (solicit new applications, review other applications
2 already received, cancel the search for the time being).
3

4 On-campus interviews with candidates must include opportunities for interaction with faculty groups,
5 including the search committee; graduate students; the department chair; and the executive dean or their
6 delegate. In most cases candidates will make a presentation to the faculty and graduate students on their
7 scholarship, and teach a class. The latter could be an actual class or a mock instructional situation. All
8 candidates interviewing for a particular position must follow the same interview format.
9

10 Following completion of on-campus interviews, the eligible faculty meet to discuss perceptions and
11 preferences, and to vote on each candidate. The eligible faculty reports a recommendation on each
12 candidate to the department chair.
13

14 If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the
15 proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the
16 appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of
17 the proposed rank or the appropriateness of prior service credit to the department chair. Appointment
18 offers at the rank of associate professor or professor, with or without tenure, and/or offers of prior service
19 credit require prior approval of the Office of Academic Affairs.
20

21 In the event that more than one candidate achieves the level of support required to extend an offer, the
22 department chair decides which candidate to approach first. The details of the offer, including
23 compensation, are determined by the department chair.
24

25 Potential appointment of a foreign national who lacks permanent residency must be discussed with the
26 Office of International Affairs. The university does not grant tenure in the absence of permanent
27 residency status. The department will therefore be cautious in making such appointments and vigilant in
28 assuring that the appointee seeks residency status promptly and diligently.
29

30 **2 Tenure-track Faculty—Regional Campus**

31

32 The regional campus has primary responsibility for determining the position description for a tenure-track
33 faculty search, but the dean/director or designee consults with the department chair to reach agreement on
34 the description before the search begins. The regional campus search committee must include at least one
35 representative from the department.
36

37 Candidates are interviewed by, at a minimum, the regional campus dean, department chair, department
38 eligible faculty, and regional campus search committee. The regional campus may have additional
39 requirements for the search not specified in this document. A decision to make an offer requires
40 agreement by the department chair and regional campus dean. Until agreement is reached, negotiations
41 with the candidate may not begin, and the letter of offer must be signed by the department chair and the
42 regional campus dean.
43

44 **3 Associated Faculty**

45

46 The appointment, review, and reappointment of all compensated associated faculty are decided by the
47 department chair in consultation with the department Executive Committee.
48

49 Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any
50 faculty member in the department and is decided by the department chair in consultation with the
51 department Executive Committee.

1
2 Compensated associated appointments are generally made for a period of one year, unless a shorter or
3 longer period is appropriate to the circumstances. All associated appointments expire at the end of the
4 appointment term and must be formally renewed to be continued. Visiting appointments may be made for
5 one term of up to three years or on an annual basis for up to three consecutive years.
6

7 Lecturer and senior lecturer appointments are usually made on a semester by semester or annual basis.
8 After the initial appointment, and if the department's curricular needs warrant it, a multiple year
9 appointment may be offered.
10

11 Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures
12 for tenure-track faculty (see Promotion and Tenure and Promotion Reviews below), with the exception
13 that the review does not proceed to the college level if the department chair's recommendation is negative,
14 and does not proceed to the university level if the recommendation of the Executive Dean or their
15 delegate is negative.
16

17 **4 Courtesy Appointments for Faculty** 18

19 Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track,
20 clinical, or research faculty member from another Ohio State department. A proposal that describes the
21 uncompensated academic service to this department justifying the appointment is considered at a regular
22 faculty meeting. If the proposal is approved by the eligible faculty, the department chair extends an offer
23 of appointment. The department chair reviews all courtesy appointments every three years to determine
24 whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a
25 vote at a regular meeting.
26

27 **V Annual Performance and Merit Review** 28

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

- 32
- 33 • Assist faculty in improving professional productivity through candid and constructive feedback
- 34 and through the establishment of professional development plans;
- 35 • Establish the goals against which a faculty member's performance will be assessed in the
- 36 foreseeable future; and
- 37 • Document faculty performance in the achievement of stated goals in order to determine salary
- 38 increases and other resource allocations, progress toward promotion, and, in the event of poor
- 39 performance, the need for remedial steps.
40

41 The annual performance and merit reviews of every faculty member are based on expected performance
42 in teaching, scholarship, and service as set forth in the department's guidelines on faculty duties and
43 responsibilities; on any additional assignments and goals specific to the individual; and on progress
44 toward promotion where relevant. Meritorious performance in teaching, scholarship, and service is
45 assessed in accordance with the same criteria that form the basis for promotion decisions.
46

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

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

3
4 The department chair is required (per Faculty Rule [3335-3-35](#)) to include a reminder in the annual review
5 letter that all faculty have the right (per Faculty Rule [3335-5-04](#)) to view their primary personnel file and
6 to provide written comment on any material therein for inclusion in the file.

7 8 **A Documentation**

9
10 For their annual performance and merit review, faculty members must submit the following documents to
11 the department chair no later than January 15:

- 12
13 • Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 (*required*
14 *for probationary faculty and recommended for associate professors*) or updated Department of
15 Germanic Languages and Literatures Annual Faculty Report (*non-probationary faculty; see Appendix*
16 *A*)
- 17 • updated CV, which will be made available to all faculty in an accessible place (*all faculty*)

18
19 Other documentation for the annual performance and merit review will be the same as that for
20 consideration for promotion and/or tenure. That documentation is described in Section VI of this
21 document.

22
23 Under no circumstances should faculty solicit evaluations from any party for purposes of the annual
24 performance and merit review, as such solicitation places its recipient in an awkward position and
25 produces a result that is unlikely to be candid.

26 27 **B Probationary Tenure-track Faculty**

28
29 During the Spring Semester of each year the Committee of the Eligible Faculty will conduct a review of
30 each probationary faculty member. This annual review will encompass the candidate's performance in
31 teaching, scholarship, and service, as well as evidence of continuing development. External evaluations
32 of the faculty member's work, required for tenure and promotion reviews, may be obtained for any annual
33 review if judged appropriate by the Committee or the Chair of the Department. This may occur when the
34 candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel
35 otherwise capable of evaluating the scholarship without outside input. If the candidate is affiliated with a
36 center in the College or the University, the Department Chair should ask the center's director (or his/her
37 representative) to provide a written evaluation of the candidate's contribution to the mission of the center.
38 Upon the request of the Committee, directors or their representatives may also become part of the
39 Committee in cases involving one of their affiliates.

40
41 The Chair of the Department or the Chair of the Committee will inform probationary faculty members, at
42 the initial appointment and each year thereafter, when the annual review will take place and provide a
43 copy of the Office of Academic Affairs dossier outline to be completed by the faculty member in
44 reporting accomplishments to date. In accordance with the outline, candidates will then provide
45 appropriate professional materials for review to the Chair, who will make them available to the
46 Committee. The Committee may also seek such additional information as necessary and consult with
47 colleagues as necessary for a fair and thorough review.

48
49 Annual reviews should be both constructive and candid. Accordingly, the Department commits itself to
50 using the review process as a means to be supportive and helpful to untenured faculty as well as to
51 communicate, candidly and clearly, aspects of performance that need improvement if the candidate is to

1 make acceptable progress. If an annual review makes it apparent that a candidate is unlikely to meet
2 expectations for promotion and tenure, the Department will not renew the probationary appointment.
3 Probationary appointments may be terminated during any probationary year because of inadequate
4 performance or inadequate professional development.
5

6 During the fourth- and sixth-year reviews a vote by the Committee of the Eligible Faculty is mandatory.
7 Votes cast as abstentions are not included in the final computation. However, the number of votes cast as
8 abstentions will be recorded and reported. The Chair of the Department takes part in the Committee's
9 deliberations at all levels, but does not vote. All votes will be by written, confidential ballot.
10

11 Following each annual review, the Chair of the Committee will summarize the Committee's deliberations
12 and, after due consultation with the Committee, send the summary to the Chair of the Department. The
13 candidate must be given a copy. Once the Department Chair and the candidate have had a chance to
14 study the memorandum, they will meet jointly with the Chair of the Committee. Sometime after this
15 meeting the Department Chair will provide the candidate and the divisional dean with a formal written
16 assessment of the faculty member's performance and professional development. The Chair's letter,
17 drawing on both the Committee's and his or her own judgment, will address the candidate's strengths and
18 weaknesses, as appropriate, and indicate whether the faculty member will be reappointed for another year.
19 It will also remind the faculty member of the right to inspect his or her personnel file, as indicated in
20 Faculty Rule [3335-5-04](#). Should the Committee's judgment differ from that of the Department Chair, the
21 Chair's letter must explain the reason(s) for the differing assessments. The Chair's annual review letter
22 and the Committee Chair's summary will become part of a faculty member's dossier for subsequent
23 annual reviews during the probationary period, including the review for promotion and tenure.
24 Candidates may respond to the Chair's letter in writing and include the response in their promotion and
25 tenure dossiers.
26

27 If the department chair recommends renewal of the appointment, this recommendation is final. If the
28 department chair recommends nonrenewal, the Fourth-Year Review process, per Faculty Rule [3335-6-03](#)
29 is invoked. Following completion of the comments process, the complete dossier is forwarded to the
30 college for review and the executive dean makes the final decision on renewal or nonrenewal of the
31 probationary appointment.
32

33 **1 Regional Campus Faculty**

34

35 Annual performance and merit review of the probationary faculty member is first conducted on the
36 regional campus, with a focus on teaching and service. The review then moves to the department and
37 proceeds as described above. In the event of divergence in performance assessment between the regional
38 campus and the department, the Department Chair discusses the matter with the regional campus
39 Dean/Director in an effort to clarify and reconcile the divergence, so that the faculty member receives
40 consistent assessment and advice.
41

42 In the event that the regional campus Dean/Director recommends renewal and the Department Chair
43 recommends nonrenewal, the case shall be reviewed by the Executive Dean of the College or their
44 delegate. The disagreement shall be considered during that review, with the Executive Dean of the
45 College or their delegate's judgment prevailing. If the Executive Dean of the College or their delegate
46 recommends nonrenewal and the Department Chair recommends renewal, the Executive Dean of the
47 College or their delegate's judgment shall prevail.
48

49 **2 Fourth-Year Review**

50

1 During the fourth year of the probationary period the annual review follows the same procedures as the
2 mandatory tenure review, with the exception that external evaluations are optional and the Executive
3 Dean of the College or their delegate (not the Department Chair) makes the final decision regarding
4 renewal or nonrenewal of the probationary appointment.
5

6 External evaluations are only solicited when either the Department Chair or the eligible faculty determine
7 that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's
8 scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise
9 capable of evaluating the scholarship without outside input.
10

11 The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty
12 votes by written ballot on whether to renew the probationary appointment.
13

14 The eligible faculty forwards a record of the vote and a written performance review to the department
15 chair. The department chair conducts an independent assessment of performance and prepares a written
16 evaluation that includes a recommendation on whether to renew the probationary appointment. At the
17 conclusion of the department review, the formal comments process (per Faculty Rule [3335-6-04](#)) is
18 followed and the case is forwarded to the college for review, regardless of whether the department chair
19 recommends renewal or nonrenewal.
20

21 **3 Exclusion of Time from Probationary Period**

22

23 Faculty Rule [3335-6-03 \(D\)](#) sets forth the conditions under which a probationary tenure-track faculty
24 member may exclude time from the probationary period. Additional procedures and guidelines can be
25 found in the Office of Academic Affairs [Policies and Procedures Handbook](#).
26

27 **C Tenured Faculty**

28

29 Associate Professors are reviewed annually by the Department Chair. The Department Chair meets with
30 the faculty member to discuss his or her performance and future plans and goals, and prepares a written
31 evaluation on these topics. The faculty member may provide written comments on the review.
32

33 Professors are also reviewed annually by the department chair, who meets with the faculty member to
34 discuss his or her performance and future plans and goals. The annual review of professors is based on
35 their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant
36 to the mission of the tenure initiating unit, as demonstrated by national and international recognition of
37 their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both
38 teaching and mentoring students; and outstanding service to the department, the college, the university,
39 and their profession, including their support for the professional development of assistant and associate
40 professors. Professors are expected to be role models in their academic work, interaction with colleagues
41 and students, and in the recruitment and retention of junior colleagues. As the highest-ranking members
42 of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all
43 other members of the faculty.
44

45 If a professor has an administrative role, the impact of that role and other assignments will be considered
46 in the annual review. The department chair prepares a written evaluation of performance against these
47 expectations. The faculty member may provide written comments on the review.
48

49 **D Tenured Faculty—Regional Campus**

50

1 Annual performance and merit review of the tenured faculty member is first conducted on the regional
2 campus, with a focus on teaching and service. The review then moves to the department and proceeds as
3 described above. In the event of divergence in performance assessment between the regional campus and
4 the department, the department chair discusses the matter with the regional campus dean/director in an
5 effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment
6 and advice.

7 8 **E Associated Faculty**

9
10 Compensated associated faculty members in their initial appointment must be reviewed before
11 reappointment. The department chair, or designee, will add a letter of evaluation to each affiliated faculty
12 member's file based on:

- 13 • SEIs & SRTs for the previous calendar year and a cumulative report of SEIs;
- 14 • A brief (1-2 page) self-evaluation by the faculty member of classes from which SEIs and
15 SRTs are drawn, as well as of other contributions to the department and profession;
- 16 • A peer evaluation of teaching;
- 17 • A conversation with the faculty member regarding her, his or their performance, future
18 plans, and goals.

19 The department chair's recommendation on renewal of the appointment is final. If the recommendation is
20 to renew, the department chair may extend a multiple year appointment.

21
22 Compensated associated faculty members beyond their initial appointment year or on a multiple-year
23 appointment are reviewed annually by the department chair, or designee. The department chair, or
24 designee, prepares a written evaluation based on the procedure outlined in the previous paragraph with the
25 exception that the peer evaluation of teaching need only be repeated bi-annually. Requests from
26 associated faculty members for more frequent observations will be honored. No later than October 15 of
27 the final year of the appointment, the chair will decide whether or not to reappoint. The department
28 chair's recommendation on reappointment is final.

29 30 **F Salary Recommendations**

31
32 The Department Chair recommends annual salary increases and other performance rewards to the
33 divisional dean, who may modify these recommendations. The recommendations are based on the current
34 annual performance and merit review as well as on the performance and merit reviews of the preceding
35 24 months. In formulating recommendations, the department chair consults with the department
36 Executive Committee. Salary increases are formulated in dollar amounts rather than percentage increases,
37 with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries.
38 As a general approach to formulating salary recommendations, the department chair divides faculty into
39 at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and
40 considers market and internal equity issues as appropriate.

41
42 Faculty members who wish to discuss dissatisfaction with their salary increase with the department chair
43 should be prepared to explain how their salary (rather than the increase) is inappropriately low, since
44 increases are solely a means to the end of an optimal distribution of salaries.

45
46 Faculty who fail to submit the required documentation (see Section V-A above) for an annual
47 performance and merit review at the required time will receive no salary increase in the year for which
48 documentation was not provided, except in extenuating circumstances, and may not expect to recoup the
49 foregone raise at a later time. (See also updated Department of Germanic Languages and Literatures
50 Annual Faculty Report in Appendix A.)

1
2 **VI Promotion and Tenure and Promotion Reviews**

3
4 **A Criteria**

5
6 Faculty Rule [3335-6-02](#) provides the following context for promotion and tenure and promotion reviews:

7
8 *In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable*
9 *flexibility shall be exercised, balancing, where the case requires, heavier commitments and*
10 *responsibilities in one area against lighter commitments and responsibilities in another. In*
11 *addition, as the university enters new fields of endeavor, including interdisciplinary endeavors,*
12 *and places new emphases on its continuing activities, instances will arise in which the proper*
13 *work of faculty members may depart from established academic patterns. In such cases care must*
14 *be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual*
15 *attainment, in accordance with the criteria set forth in these rules, is an essential qualification for*
16 *promotion to tenured positions. Clearly, insistence upon this standard for continuing members of*
17 *the faculty is necessary for maintenance and enhancement of the quality of the university as an*
18 *institution dedicated to the discovery and transmission of knowledge.*

19
20 **1 Promotion to Associate Professor with Tenure**

21
22 Faculty Rule [3335-6-02](#) provides the following general criteria for promotion to associate professor with
23 tenure:

24
25 *The awarding of tenure and promotion to the rank of associate professor must be based on*
26 *convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar,*
27 *and as one who provides effective service; and can be expected to continue a program of high-*
28 *quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which*
29 *the faculty member is assigned and to the university.*

30
31 Tenure is not awarded below the rank of associate professor at The Ohio State University.

32
33 The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and
34 judge the probability that faculty, once tenured, will continue to develop professionally and contribute to
35 the department's academic mission at a high level for the duration of their time at the university.

36
37 Every candidate is held to a high standard of excellence in all aspects of performance. Accepting
38 weakness in any aspect of performance in making a tenure decision is tantamount to deliberately
39 handicapping the department's ability to perform and to progress academically. Above all, candidates are
40 held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's
41 primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate
42 teaching is required. A mediocre performance in this area would not be adequately counterbalanced by
43 excellent performance in another aspect of teaching that is a significantly smaller part of the individual's
44 responsibilities.

45
46 Excellence in teaching, scholarship, and service is moreover defined to include professional ethical
47 conduct in each area of responsibility, consistent with the [American Association of University Professors'](#)
48 [Statement on Professional Ethics](#).

49
50 The accomplishments listed below in the areas of teaching, scholarship, and service are expected of
51 faculty for promotion to associate professor with tenure. In the evaluation of untenured associate

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

3 4 **Teaching**

5
6 Effective teaching will be judged according to the following criteria: command of a subject; continuous
7 growth in the candidate's fields of expertise; ability to organize material and to present it with logic and
8 conviction at both the undergraduate and graduate levels; objectivity, tolerance, and appreciation of
9 diversity; professional interest in students, both in and outside the classroom; development of new courses
10 or curricula; advising students, supervising theses and dissertations, and serving as a member of
11 candidacy and doctoral examination committees. The Committee will also consider any evidence that
12 indicates the faculty member's ability to awaken in students an awareness of the relationship of their
13 subject(s) to other fields of knowledge, as well as the ability to arouse curiosity in students.

14
15 Teaching excellence is to be measured primarily by means of the Department's Student Reports on
16 Teaching (SRT) forms, the tabulated results of the Student Evaluation of Instructor (SEI) forms and peer
17 evaluations. In accordance with Department and College policies, all courses taught by faculty at all ranks
18 must be evaluated by means of the SRT and SEI instruments, which are to be administered by someone
19 other than the instructor.

20
21 The Chair of the Committee of the Eligible Faculty will be responsible for selecting peer reviewers for the
22 candidate.

23
24 The Chair and those charged with conducting the annual and promotion-and-tenure reviews will have
25 access to these documents and to any additional documentation (e.g., a statement on teaching philosophy
26 and objectives) that may be helpful in conducting the review.

27
28 Faculty members will be responsible for making any discursive student evaluations that they use available
29 to the Department. Such instruments will be retained in the departmental files for use in annual reviews
30 and promotion-and-tenure deliberations.

31 32 **Scholarship**

33
34 Scholarship is central to the mission of the Department: it leads to better teaching, to innovation in the
35 continuing review of the curriculum, and to the professional growth of the faculty. Accordingly, any
36 departmental recommendations for the promotion of a candidate to the rank of Associate Professor with
37 tenure must be based on convincing evidence that the candidate has achieved excellence and recognition
38 in this area, as is appropriate to faculty at a major research institution; that the candidate has taken an
39 active role in the community of scholars by publications, regular conference participation, and other
40 professional activities; and that the candidate can be expected to continue to develop a program of high-
41 quality scholarship relevant to the mission of the Department.

42
43 Scholarship may take various forms, but all of them should have a clear relation to the Department's
44 mission. Some scholarship may emphasize the generation or reinterpretation of knowledge; other
45 scholarship may introduce new approaches or apply existing approaches to a new body of material; still
46 other scholarship may emphasize more pedagogical concerns and incorporate theoretical advances in
47 methods of teaching and/or language acquisition or apply technology in innovative and creative ways.

48
49 In evaluating scholarly and creative work, the kind, scope, and quality of each publication will be
50 considered. In general, monographic and comprehensive works (books, monographs, articles, etc.) based
51 on original research will be attributed the highest value when published in high-quality venues, especially

1 when peer-reviewed. The Committee recognizes that publications in our field will frequently be written in
2 languages other than English and printed in journals or by presses outside the USA. Here as elsewhere,
3 the quality of the journal, series, press, or volume in which the work is published will be carefully
4 assessed.

5
6 In recommending Assistant Professors in the fields of literature and cultural studies for promotion and
7 tenure, the typical expectation is a book (either published or under board-approved contract and in
8 production), as well as other evidence of scholarly productivity in the form of refereed journal articles
9 and/or book chapters and conference papers. In the other fields, similar evidence of scholarly
10 productivity is expected, and the publication of a book is highly desirable. However, for candidates in
11 linguistics, the publication of a series of substantive refereed articles may be judged to represent work and
12 accomplishment comparable to the publication of a book in other fields. The same is true in language
13 methodology/ pedagogy, where the publication of innovative textbooks or instructional software that
14 incorporate or present theoretical ideas or advances in methods of teaching may be judged to be
15 equivalent to monographic works when accompanied by theoretical articles published in high-quality
16 refereed journals; and in philology, where the publication of editions of texts with critical apparatus may
17 be given considerable weight as evidence of scholarly productivity.

18
19 By themselves, edited journals and other collections, translations with scholarly apparatus, bibliographies,
20 and reviews, notes and other short pieces are normally insufficient to constitute grounds for promotion to
21 associate professor with tenure, although such works in combination with original research may provide
22 evidence of scholarly excellence, as may the winning of grants in national and international competitions.

23
24 In evaluating scholarly achievement, the Department will consider both quality and quantity. The
25 principal measure of scholarly productivity will be works that have already been published or that are
26 under final, board-approved contract and in production. There must also be evidence that the Assistant
27 Professor will continue to make original and significant scholarly contributions in the future. Typically,
28 this is provided by a consistent record of productivity beyond the Ph.D. dissertation and a well-articulated
29 research agenda.

30 31 **Service**

32
33 For promotion to associate professor with tenure, a faculty member is expected to have:

- 34
- 35 • made substantive contributions to the governance of the department in a manner that facilitates
 - 36 positive contributions by others
 - 37 • demonstrated the potential for useful contributions to the profession
- 38

39 **2 Promotion to Professor**

40
41 Faculty Rule [3335-6-02](#) establishes the following general criteria for promotion to the rank of professor:

42
43 *Promotion to the rank of professor must be based on convincing evidence that the faculty member*
44 *has a sustained record of excellence in teaching; has produced a significant body of scholarship*
45 *that is recognized nationally or internationally; and has demonstrated leadership in service.*

46
47 Promotion to professor in the Department of Germanic Languages and Literatures takes the pursuit of
48 scholarly excellence as its core value. The Department also recognizes that a career may consist of
49 various phases in which a concentration on scholarly activity, teaching, or administrative/professional
50 service creates a composite professional life. Promotion to professor typically requires excellence in
51 scholarship. Where a candidate has made truly extraordinary contributions in the areas of teaching or

1 service, that record may warrant promotion in combination with a less extensive, though excellent record
2 of continued productivity in scholarship. Excellence in scholarship means attainment of measurable
3 national or international recognition based on an appropriate amount and rate of high quality published
4 research and/or other relevant creative endeavors. A successful candidate will have achieved national
5 distinction as a scholar and have an emerging international reputation. Excellence in teaching means the
6 provision to all students of the opportunity to realize their full capabilities for learning and, to the most
7 capable and motivated students, an enhanced learning experience. It can be measured by the attainment of
8 national or international recognition, as evidenced by pedagogical publications, awards, honors, and/or
9 critical student outcomes. Excellence in service means the provision of a high level of professional
10 expertise and experience to one or more publics – including the university, the Columbus community, the
11 State of Ohio, the nation, and professional organizations. External hires at the associate professor or
12 professor level with tenure will demonstrate the same accomplishments in scholarship, teaching and
13 service as persons promoted within the university. For all, the substantial probability that a high rate of
14 quality scholarship and/or excellence in teaching and service will continue needs to be established. The
15 claim that retention of the candidate will improve the overall quality and standing of the unit needs to be
16 supported.

17
18 Excellence in teaching may be demonstrated through success in developing student interests in the subject
19 area(s), effectiveness in conveying to students the essentials of the subject(s) taught, and a willingness to
20 demand of students clear evidence of intellectual growth. Wherever appropriate and in accord with
21 teaching assignments, attention should be given not only to a faculty member's involvement in graduate
22 students' M.A. or Ph.D. examinations or preparation of theses or dissertations and undergraduate honors
23 theses, but also to his/her availability and effectiveness as a formal or informal advisor. To the extent
24 possible and feasible, the Department should also attach importance to the determinable progress and
25 success of students under a faculty member's guidance and direction—both during and following their
26 graduate careers—to evaluate the faculty member's contribution (as mentor, advisor, recommender,
27 advocate, etc.) to that progress and success.

28
29 A candidate for promotion to the rank of Professor is expected to present substantial publication beyond
30 that which earned promotion to the rank of Associate Professor. In the fields of literature and cultural
31 studies, this will typically mean that the candidate has a second book published or under final board-
32 approved contract and in production, or an extensive and sustained body of writing on a specific topic or
33 area. A candidate must have articles, book chapters, edited work, and conference papers beyond those
34 considered for promotion to the rank of Associate Professor. A comparable level of accomplishment will
35 be expected of candidates in linguistics, language methodology/ pedagogy, and philology; however, in
36 these fields an additional series of substantive articles may be weighed as an equivalent of the book
37 expected in other fields. Candidates must continue to show other evidence of additional scholarly
38 productivity in the form of articles in major refereed journals, presentations at scholarly meetings, and the
39 gaining of or efforts to gain outside funding for research.

40
41 A candidate for promotion to Professor must also demonstrate leadership in service appropriate to the
42 rank of Professor at a major research institution. This includes guidance of student research, effective
43 service on departmental committees, service on College and University committees, and service beyond
44 the University—such as work with professional organizations in the candidate's field; professional
45 consultantships for foundations, universities, scholarly organizations and publishers; and service as an
46 external reviewer for faculty members at other universities.

47
48 When assessing a candidate's national and international reputation in the field, a national and
49 international reputation for the scholarship of teaching may be counted as either teaching or scholarship.

50

1 In addition, as further specified by Faculty Rule [3335-6-02](#), assessment is in relation to specific assigned
2 responsibilities with reasonable flexibility being exercised in order to balance, where the case requires,
3 heavier responsibilities and commitment in one area against lighter ones in another. Promotion should
4 reflect the reality that (a) not all faculty members have the same distribution of assignments (b) not all
5 faculty members will be able to contribute excellence equally in all evaluation dimensions; and (c) there
6 is a multi-faceted institutional responsibility that must be achieved by the skills of the faculty collectively.
7 Promotion to professor should be awarded not only to those faculty who have demonstrated impact in
8 their scholarship of research and creative inquiry, teaching and learning, and service, but also to those
9 who have exhibited excellence in the scholarship of leadership to make visible and demonstrable impact
10 upon the mission of the department, college, and university.

11
12 In the evaluation of untenured professors for tenure, the same criteria apply, along with any others
13 established in writing at the time a senior rank appointment without tenure was offered.

14 15 **3 Regional Campus Faculty**

16
17 The primary function of the regional campuses is to provide high-quality undergraduate instruction and to
18 serve the academic needs of their communities. With this consideration in mind, in evaluating regional
19 campus faculty for promotion and tenure or promotion, the department will give greater emphasis to the
20 quality of teaching and service relative to scholarship. Recognizing that the character and quantity of
21 scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the
22 weight of other responsibilities and lack of access to comparable resources, the department nevertheless
23 expects regional campus faculty to establish a program of high-quality scholarly activity.

24 25 **B Procedures**

26
27 The department's procedures for promotion and tenure and promotion reviews are fully consistent with
28 those set forth in Faculty Rule [3335-6-04](#) and the Office Academic Affairs annually updated procedural
29 guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures](#)
30 [Handbook](#). The following sections, which state the responsibilities of each party to the review process,
31 apply to all faculty members in the department.

32 33 **1 Candidate Responsibilities**

34
35 Candidates are responsible for submitting a complete, accurate dossier fully consistent with Office of
36 Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate
37 Checklist without ascertaining that they have fully met the requirements set forth in the Office of
38 Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

39
40 Candidates must submit a copy of the APT document under which they wish to be reviewed. Candidates
41 may submit the department's current APT document; or, alternatively, they may elect to be reviewed
42 under either (a) the APT document that was in effect on their start date, or (b) the APT document that
43 was in effect on the date of their last promotion, whichever of these two latter documents is the more
44 recent. However, the current APT document must be used if the letter of offer or last promotion,
45 whichever is more recent, was more than 10 years before April 1 of the review year. The APT document
46 must be submitted when the dossier is submitted to the department.

47
48 If external evaluations are required, candidates are responsible for reviewing the list of potential external
49 evaluators developed by the department chair and the Committee of the Eligible Faculty. The candidate
50 may add no more than three additional names, but is not required to do so. The candidate may request the

1 removal of no more than two names, providing the reasons for the request. The department chair decides
2 whether removal is justified. (Also see External Evaluations below.)
3

4 **2 Committee of the Eligible Faculty Responsibilities**

5

6 The responsibilities of the Committee of the Eligible Faculty are as follows:
7

- 8 • To review this document annually and to recommend proposed revisions to the faculty.
9
- 10 • To consider annually, in spring semester, requests from faculty members seeking a non-
11 mandatory review in the following academic year and to decide whether it is appropriate for such
12 a review to take place. Only professors on the committee may consider promotion review
13 requests to the rank of professor. A two-thirds majority of those eligible to vote on a request
14 must vote affirmatively for the review to proceed.
15
 - 16 ○ The committee bases its decision on assessment of the record as presented in the faculty
17 member's CV and on a determination of the availability of all required documentation for
18 a full review (student and peer evaluations of teaching). Lack of the required
19 documentation is necessary and sufficient grounds on which to deny a non-mandatory
20 review.
21
 - 22 ○ A tenured faculty member may only be denied a formal promotion review under Faculty
23 Rule [3335-6-04](#) for one year. If the denial is based on lack of required documentation and
24 the faculty member insists that the review go forward in the following year despite
25 incomplete documentation, the individual should be advised that such a review is
26 unlikely to be successful.
27
 - 28 ○ Consistent with Office of Academic Affairs policy, only faculty members who are
29 citizens or permanent residents of the United States may be considered for non-
30 mandatory tenure review. The committee must confirm with the department chair that an
31 untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or
32 permanent resident (has a "green card"). Faculty members not eligible for tenure due to
33 lack of citizenship or permanent residency are moreover not considered for promotion by
34 this department.
35
 - 36 ○ A decision by the committee to permit a review to take place in no way commits the
37 eligible faculty, the department chair, or any other party to the review to making a
38 positive recommendation during the review itself.
39
- 40 • Annually, in late spring through early autumn semester, to provide administrative support for the
41 promotion and tenure review process as described below.
42
 - 43 ○ **Late Spring:** Select from among its members a Procedures Oversight Designee who will
44 serve in this role for the following year. The Procedures Oversight Designee cannot be
45 the same individual who chairs the committee. The Procedures Oversight Designee's
46 responsibilities are described in the Office of Academic Affairs annual procedural
47 guidelines.
48
 - 49 ○ **Late Spring:** Suggest names of external evaluators to the department chair.
50

- 1 ○ **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including
2 citations), and consistency with Office of Academic Affairs requirements; and work with
3 candidates to assure that needed revisions are made in the dossier before the formal
4 review process begins.
- 5
- 6 ○ Meet with each candidate for clarification as necessary and to provide the candidate an
7 opportunity to comment on his or her dossier. This meeting is not an occasion to debate
8 the candidate's record.
- 9
- 10 ○ Draft an analysis of the candidate's performance in teaching, scholarship and service to
11 provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent
12 evidence in the case, where possible. The committee neither votes on cases nor takes a
13 position in presenting its analysis of the record.
- 14
- 15 ○ Revise the draft analysis of each case following the faculty meeting, to include the
16 faculty vote and a summary of the faculty perspectives expressed during the meeting; and
17 forward the completed written evaluation and recommendation to the department chair.
- 18
- 19 ○ Provide a written response, on behalf of the eligible faculty, to any candidate comments
20 that warrant response, for inclusion in the dossier.
- 21
- 22 ○ Provide a written evaluation and recommendation to the department chair in the case of
23 joint appointees whose tenure-initiating unit is another department. The full eligible
24 faculty does not vote on these cases since the department's recommendation must be
25 provided to the other tenure-initiating unit substantially earlier than the committee begins
26 meeting on this department's cases.
- 27
- 28 • To review thoroughly and objectively every candidate's dossier in advance of the meeting at
29 which the candidate's case will be discussed.
- 30
- 31 • To attend all eligible faculty meetings except when circumstances beyond one's control prevent
32 attendance; to participate in discussion of every case; and to vote.
- 33

34 **3 Department Chair Responsibilities**

35
36 The responsibilities of the department chair are as follows:

- 37
- 38 • To charge each member of the Committee of the Eligible Faculty to conduct reviews free of bias
39 and based on criteria.
- 40
- 41 • Where relevant, to verify the prospective candidate's residency status. Faculty members who are
42 neither citizens nor permanent residents of the United States may not undergo a non-mandatory
43 review for tenure, and tenure will not be awarded as the result of a mandatory review until
44 permanent residency status is established. Faculty members not eligible for tenure due to lack of
45 citizenship or permanent residency are moreover not considered for promotion by this
46 department.
- 47
- 48 • **Late Spring Semester:** To solicit external evaluations from a list including names suggested by
49 the Committee of the Eligible Faculty, the chair and the candidate. (Also see External
50 Evaluations below.)

- 1
- 2 • To solicit an evaluation from a TIU head of any TIU in which the candidate has a joint
- 3 appointment.
- 4
- 5 • To make adequate copies of each candidate's dossier available in an accessible place for review
- 6 by the eligible faculty at least two weeks before the meeting at which specific cases are to be
- 7 discussed and voted.
- 8
- 9 • To remove any member of the eligible faculty from the review of a candidate when the member
- 10 has a conflict of interest but does not voluntarily withdraw from the review.
- 11
- 12 • To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed
- 13 and respond to questions raised during the meeting. The department chair will leave the meeting
- 14 to allow open discussion among the eligible faculty members.
- 15
- 16 • **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for
- 17 each candidate, following receipt of the eligible faculty's completed evaluation and
- 18 recommendation.
- 19
- 20 • To meet with the eligible faculty to explain any recommendations contrary to the
- 21 recommendation of the committee.
- 22
- 23 • To inform each candidate in writing after completion of the department review process:
- 24
- 25 ○ of the recommendations by the eligible faculty and department chair
- 26
- 27 ○ of the availability for review of the written evaluations by the eligible faculty and
- 28 department chair
- 29
- 30 ○ of the opportunity to submit written comments on the above material, within ten days
- 31 from receipt of the letter from the department chair, for inclusion in the dossier. The letter
- 32 is accompanied by a form that the candidate returns to the department chair, indicating
- 33 whether or not he or she expects to submit comments.
- 34
- 35 • To provide a written response to any candidate comments that warrants response for inclusion in
- 36 the dossier.
- 37
- 38 • To forward the completed dossier to the college office by that office's deadline, except in the case
- 39 of associated faculty for whom the department chair recommends against promotion. A negative
- 40 recommendation by the department chair is final in such cases.
- 41
- 42 • To receive the Committee of the Eligible Faculty's written evaluation and recommendation of
- 43 candidates who are joint appointees from other tenure-initiating units, and to forward this
- 44 material, along with the department chair's independent written evaluation and recommendation,
- 45 to the department chair of the other tenure-initiating unit by the date requested.
- 46

47 **4 Procedures for Regional Campus Faculty**

48

1 Regional campus faculty are first reviewed by the regional campus faculty according to the process
2 established on that campus and then by the regional campus dean/director. The regional campus review
3 focuses on teaching and service.
4

5 The regional campus dean/director forwards the written evaluation and recommendation of the regional
6 campus review to the department chair, from which point the review follows the procedures described for
7 the Columbus campus faculty.
8

9 **5 External Evaluations**

10 External evaluations of scholarly activity and research are obtained for all promotion reviews in which
11 scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews
12 and all adjunct faculty promotion reviews.
13

14 A minimum of five credible and useful evaluations must be obtained. A credible and useful evaluation:
15

- 16
17 • Is written by a person highly qualified to judge the candidate's scholarship (or other performance,
18 if relevant) who can give an “arms’ length” evaluation of the research record and is not a close
19 personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the
20 candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of
21 accomplishments, and institutional affiliation. This department will only solicit evaluations from
22 professors at institutions comparable to Ohio State. In the case of an assistant professor seeking
23 promotion to associate professor with tenure, a minority of the evaluations may come from
24 associate professors.
25
- 26 • Provides sufficient analysis of the candidate's performance to add information to the review. A
27 letter's usefulness is defined as the extent to which the letter is analytical as opposed to
28 perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an
29 evaluator on the merits of the case.
30

31 Since the department cannot control who agrees to write and or the usefulness of the letters received,
32 more letters are sought than are required, and they are solicited no later than the end of the spring
33 semester prior to the review year. This timing allows additional letters to be requested should fewer than
34 five useful letters result from the first round of requests.
35

36 As described above, a list of potential evaluators is assembled by the Committee of the Eligible Faculty,
37 the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for
38 credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that
39 no more than half the external evaluation letters in the dossier be written by persons suggested by the
40 candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the
41 Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators
42 suggested by the candidate.
43

44 The department follows the Office of Academic Affairs suggested [format](#) for letters requesting external
45 evaluations.
46

47 Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with
48 external evaluators for any purpose related to the promotion review. If an external evaluator should
49 initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such
50 communication is inappropriate and report the occurrence to the department chair, who will decide what,
51 if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that

1 letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural
2 lapse, or the appearance of such a lapse, in the course of the review process.

3
4 All solicited external evaluation letters that are received must be included in the dossier. If concerns arise
5 about any of the letters received, these concerns may be addressed in the department's written evaluations
6 or brought to the attention of the Office of Academic Affairs for advice.

7 8 **6 Dossier**

9
10 As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate
11 dossier that follows the Office of Academic Affairs dossier outline. While the Committee of the Eligible
12 Faculty makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears
13 full responsibility for all parts of the dossier that are to be completed by the candidate.

14
15 The complete dossier, including the documentation of teaching noted in bold below, is forwarded when
16 the review moves beyond the department. The documentation of scholarship and service noted below is
17 for use during the department review only, unless reviewers at the college and university levels
18 specifically request it.

- 19
20 • Any published materials presented for consideration should be in the form of reprints,
21 photocopies of journal articles, or other final form that documents actual publication. An author's
22 manuscript does not document publication.
- 23
24 • Under no circumstances should faculty solicit evaluations from any party for purposes of the
25 review.

26 27 **1 Teaching**

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

- 32
33 • cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries
34 prepared by the Office of the University Registrar) for every class
- 35 • departmental Student Reports on Teaching (SRT) forms
- 36 • peer evaluation of teaching reports
- 37 • Copies of pedagogical papers, books or other materials published, or accepted for
38 publication. Material accepted for publication but not yet published must be accompanied by a
39 letter from the publisher stating that the work has been unequivocally accepted and is in final
40 form with no further revisions needed.
- 41 • teaching activities as listed in the core dossier including
 - 42 ○ involvement in graduate/professional exams, theses, and dissertations, and undergraduate
 - 43 research
 - 44 ○ mentoring postdoctoral scholars and researchers
 - 45 ○ extension and continuing education instruction
 - 46 ○ involvement in curriculum development
 - 47 ○ awards and formal recognition of teaching
 - 48 ○ presentations on pedagogy and teaching at national and international conferences
 - 49 ○ adoption of teaching materials at other colleges or universities
- 50 • other relevant documentation of teaching as appropriate

1
2 **2 Scholarship**
3

4 The time period for material included in the dossier for probationary faculty is the start date to present.
5 For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of
6 documentation include:
7

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

21
22 **3 Service**
23

24 The time period for material included in the dossier for probationary faculty is the start date to present.
25 For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of
26 documentation include:
27

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

40 **VII Appeals**
41

42 Faculty Rule [3335-6-05](#) sets forth general criteria for appeals of negative promotion and tenure
43 decisions. Appeals alleging improper evaluation are described in Faculty Rule [3335-5-05](#).
44

45 Disagreement with a negative decision is not grounds for appeal. In pursuing an appeal, the faculty
46 member is required to document the failure of one or more parties to the review process to follow written
47 policies and procedures.
48

49 **VIII Seventh-Year Reviews**
50

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

3 4 **IX Procedures for Student and Peer Evaluation of Teaching**

5 6 **A Student Evaluation of Teaching**

7
8 Use of the Student Evaluation of Instruction (eSEI) and the Student Reports on Teaching (SRT) is
9 required in every course offered in this department. Faculty members should choose a day late in the
10 semester when attendance is likely to be high if s/he is going to provide in-class time for students to
11 complete the evaluation using a mobile application. The faculty member must leave the classroom during
12 the time allotted for completing the evaluation. The faculty member should reiterate to students that the
13 feedback provided in the evaluations is used both for performance reviews and to provide feedback that
14 can be taken into account in future teaching.

15 16 **B Peer Evaluation of Teaching**

17
18 The Chair of the Committee of the Eligible Faculty oversees the department's peer evaluation of teaching
19 process. Reasonable efforts are made to distribute service among the tenured faculty in order to support
20 and encourage attention to the quality of teaching in the department. Although there is no presumption
21 that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a
22 model will be followed to the extent possible.

23
24 The responsibilities of the Committee with regard to peer evaluation of teaching are as follows:

- 25
- 26 • to review the teaching of probationary tenure-track at least once per year during the first two
27 years of service, and at least twice more during the remainder of the probationary period, with the
28 goal of assessing teaching at all the levels of instruction to which the faculty member is assigned
29
 - 30 • to review the teaching of tenured associate professors at least once per year, with the goal of
31 assessing teaching at all the levels of instruction to which the faculty member is assigned over a
32 three year period
33
 - 34 • to review the teaching of tenured professors at least once every four years with the goal of
35 assessing teaching at all the levels of instruction to which the faculty member is assigned during
36 the year of the review
37
 - 38 • To review, upon the department chair's request, the teaching of any faculty member not currently
39 scheduled for review. Such reviews are normally triggered by low or declining student
40 evaluations or other evidence of the need for providing assistance in improving teaching.
41
 - 42 • To review the teaching of a faculty member not currently scheduled for review, upon that
43 individual's request, to the extent that time permits. Reviews conducted at the request of the
44 faculty member are considered formative only. The department chair is informed that the review
45 took place, but the report is given only to the faculty member who requested the review. Faculty
46 seeking formative reviews should also seek the services of the [Drake Institute for Teaching and
47 Learning](#).
48

1 Reviews conducted upon the request of the department chair or the faculty member focus on the specific
2 aspects of instruction requested by the chair or faculty member and may or may not include class
3 visitations
4

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

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

Appendix A

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

Name

Calendar Year

I. Courses Taught

	Course number, title and number of students
SP	
SU	
AU	

Comments:

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

A. Books:

B. Edited Volumes:

C. Journals Edited:

D. Articles and Essays:

- E. Book Reviews:

- F. Invited Lectures:

- G. Panels and Papers (give title of panel or paper, sponsoring organization, location of meeting, and month):

- H. Research in Progress (be as specific as necessary to convey the theme, nature, and envisioned result of your work; what precisely was accomplished in the calendar year):

- I. Evaluation of Scholarship (reading scholarly manuscripts; contributing editor, editorial board, external P&T reader):

- J. Other:

- K. List here books that appeared in the year previous to the calendar year of this report:

Comments:

III. Involvement with Graduate Students and Undergraduate Honors Students

- A. Dissertation Advising
 - (1) Completed (give name of student, title, and month of completion):

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

- B. Dissertation Committees
 - (1) Completed (give name of student, title, and month of completion):

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

C. M.A. Thesis Committees

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

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

D. Honors Thesis Committees

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

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

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

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

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

Comments:

IV. Offices Held and Committee Assignments

A. Department:

B. College of Arts and Sciences:

C. University:

D. Profession:

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

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

A. Awarded:

B. Submitted (give date(s)):

Comments:

VI. Recognitions, Honors, and Awards Received: