

TABLE OF CONTENTS

- I. Guidelines on THE COMPOSITION AND OPERATION OF PERSONNEL COMMITTEE
- II. Guidelines on DEPARTMENTAL MECHANISM FOR PROMOTION AND TENURE DECISIONS
- III. Guidelines on TENURE AND PROMOTION WITHIN THE DEPARTMENT OF ENGLISH
- IV. Guidelines on EVALUATION OF QUALITY
- V. Guidelines on EXTERNAL PEER REVIEW FOR PROMOTION AND TENURE
- VI. Guideline on TIME IN RANK AND PRIOR SERVICE FOR PROMOTION AND TENURE
- VII. Guideline on ASSESSING DEPARTMENTAL NEEDS IN GRANTING TENURE
- VIII. Guidelines on ENGLISH DEPARTMENT GOALS AND OBJECTIVES
- IX. Guideline on ANNUAL APPRAISAL/MERIT RAISE REVIEW PROCESS
- X. Guidelines on DEFINING AND FILLING NEWLY CREATED TEACHING POSITIONS AND TEACHING VACANCIES
- XI. POLICIES FOR SELECTION, EVALUATION & RETENTION OF THE DEPARTMENT HEAD (approved by general faculty 5/96; modified and approved 3/17/97, 3/18/01, 11/22/06)
- XII. Guideline on AMENDING THE ENGLISH DEPARTMENT PERSONNEL GUIDELINES
- XIII. English Department Faculty: GENERALIZED JOB DESCRIPTIONS BY ACADEMIC RANK

I. Guidelines on THE COMPOSITION AND OPERATION OF PERSONNEL COMMITTEE

(ENGLISH DEPARTMENT PERSONNEL COMMITTEE CHARTER [May 1976; revised April 2007; last revised April 2015])

- A. **PURPOSE.** The English Department Personnel Committee shall serve as a faculty-elected advisory group to the Head of the English Department for recommendations concerning personnel policy and individual personnel actions.
- B. **MEMBERSHIP**
1. The Personnel Committee shall be comprised of three voting full professors, two voting tenured associate professors, and one assistant professor. All members will participate in all discussions but will only vote as specified below.
 2. The Chair and members of the Committee shall be elected by secret ballot.
 - a. The elections for positions on the Personnel Committee shall be called and conducted by the Department Head during the last four weeks of the spring semester for the following summer, fall, and spring semesters. Only on-campus faculty members are eligible to vote; emeriti faculty as well as faculty members in their last semester of service may not vote.
 - b. The Chair, a full professor, shall be elected before the other positions by the tenured and tenure-track faculty (Assistant Professors, Associate Professors, Professors) for a term of one year.
 - c. The two full Professor positions, tenured, shall be elected by the tenured and tenure-track faculty (Assistant Professors, Associate Professors, Professors) for a term of two years. The two positions will be staggered.
 - d. The two tenured Associate Professor positions shall be elected by the tenured and tenure-track faculty (Assistant Professors, Associate Professors, Professors) for a term of two years. The two positions will be staggered.
 - e. The assistant professor position shall belong to a tenure-track, untenured member of the Department, who shall be elected by the tenured and tenure-track faculty (Assistant Professors, Associate Professors, Professors) for a term of one year.
 3. The Chair and the Committee members, except for the untenured member, shall be eligible to succeed themselves in a position for a maximum of one term.

4. If the Chair or a Committee member cannot complete an elected term for any reason, the Department Head shall call a special election to fill that position for the remainder of the current term.
 5. Candidates for reappointment, tenure, or promotion; their partners; and their research collaborators shall be ineligible to serve during the year of their review. If the regular elections have already taken place when someone becomes a candidate, a special election will be held to replace that candidate, partner, or collaborator for the academic year in question. If the Chair or a Committee member is a party to any other question before the Committee, the Department Head shall appoint—only for the duration of the question at hand—a temporary replacement from the same faculty constituency.
 6. The Head of the English Department shall not be eligible to stand for election as the Chair or as a representative of a constituency.
- C. DUTIES. The Committee shall perform the following duties for the purpose of making appropriate recommendations to the Head of the English Department:
1. Interpret and make recommendations for applying the English Department Personnel Guidelines.
 2. Encourage the individual faculty member to seek informal resolution of potential grievances. Such efforts failing, the Committee shall operate as follows:
 - a. Consider and make appropriate recommendations on matters first submitted in writing to the Department Head, who has then referred those matters to the Committee.
 - b. Consider and make appropriate recommendations on matters not satisfied by the above procedure and brought in writing directly to the Committee.
 3. Keep the Department Head fully informed of problems or potential problems the Committee feels might affect morale of the Department.
- D. PROCEDURES
1. The Personnel Committee shall have regular Committee meetings once each month. The Department Head or Committee Chair may call special meetings when needed.
 2. During the first meeting after the spring election, the Committee shall select by lot a secretary to keep a complete set of official minutes including the following:
 - a. Meeting date, time, place, and attendance.
 - b. List of recommendations for Department Head.

- c. Final vote counts on each Committee recommendation considered.
- 3. A quorum to conduct a meeting of the Personnel Committee shall be any four members of the Committee.
- 4. Voting:

A member of the Committee must be present, physically or virtually, to vote. The Committee Chair and members are expected to solicit faculty opinion on appropriate Committee business.

- a. Voting on non-RPT matters

The two full professors, the two associate professors, and the assistant professor on the Personnel Committee will vote on non-RPT matters. The Chair will vote on non-RPT matters only when there is a tie.

- b. Voting on RPT matters

All voting on RPT matters will be by secret ballot

- (1) Reappointment: the three full professors and two associate professors on the Personnel Committee shall vote on reappointment cases.
 - (2) Tenure and/or promotion to associate professor: the three full professors and two associate professors on the Personnel Committee shall vote on tenure and/or promotion to associate professor cases.
 - (3) Promotion to full professors: the three full professors on the Personnel Committee shall vote on promotion to full professor cases.
- 5. Statements of Recommendation for RPT matters

Statements of recommendation for RPT matters shall be written, revised, and signed only by the voting members for each RPT action. The final version submitted to the Unit Administrator shall be made available to all Personnel Committee members.

- 6. The Committee shall have access to all appropriate records and information necessary for conducting Committee business.

7. The Committee shall observe appropriate confidentiality of materials, discussions, and recommendations.
8. The Committee shall submit the official Committee minutes to the Department Head in writing, signed by the Chair and the secretary. The original copy of the Committee minutes shall remain in the office of the Department Head and be available only to the persons involved in instances of official inquiry.
9. In the event the Department Head does not implement Personnel Committee recommendations, the Head shall so inform the Committee in writing as promptly as possible and provide a rationale.

II. Guidelines on DEPARTMENTAL MECHANISM FOR PROMOTION AND TENURE DECISIONS

All personnel actions (reappointment, tenure, or promotion recommendations) are to be initiated at the Department level by the faculty member, Head, or Personnel Committee. Anyone requesting reappointment, promotion, or tenure must notify the Department Head early enough that the Personnel Committee can receive its instructions no later than Friday of the first week of class of the Fall semester. The Department follows the procedures outlined in Policy & Procedures document 2-0902, relevant portions of which appear as follows (ellipses indicate items inapplicable to the English Department; brackets substitute or cross-reference Department policy):

A. OVERVIEW OF THE RESPONSIBILITIES OF PARTICIPANTS IN THE RPT PROCESS

Operationally, the function of the RPT process is to determine whether each candidate has met the detailed academic qualifications and criteria specified by his/her unit. In this process, the candidate, unit personnel committee, unit administrator, dean and administrative vice president have unique responsibilities they must carry out with the highest professional integrity. Briefly the role of each participant is as follows:

Candidate. It shall be the personal responsibility of the faculty member to show that applicable qualifications for reappointment, tenure and promotion have been met. (*Policy Statement*, Section 1.1.5) To carry out this responsibility, the candidate must develop, in cooperation with the unit administrator, a file documenting that each of the detailed qualifications and criteria of the unit have been specifically achieved. The “Development of the RPT Documentation File” form lists the documentation that must be included and should be used as a guide in the development of the file.

In the review process, some of the reviewers may not personally know the candidate and will rely exclusively on materials included or referred to in this file as the basis for their recommendation. The candidate must not assume that the reviewers will know that he/she is an excellent teacher, scholar and colleague. It is essential that the candidate include in

the file all the materials necessary to document and affirmatively establish that he/she has met all applicable criteria and qualifications.

Unit Personnel Committee. The responsibility of the unit personnel committee is to recommend whether or not the candidate has met each of the applicable criteria and qualifications for the personnel action being considered. The written recommendation to the unit administrator shall specifically address how each criterion and qualification has or has not been met. If there is a divergence of opinion within the committee, both majority and minority opinions shall be indicated within a single recommendation letter. The composition of the unit personnel committee and identification of those members eligible to vote shall be specified in the unit's RPT guidelines.

Unit Administrator. The unit administrator is responsible for making sure that the candidate and personnel committee are familiar with all relevant policies, procedures, and applicable qualifications and criteria. He/She assists the candidate in constructing the documentation file and makes a final assessment of the candidate after he/she has received the recommendation of the unit personnel committee. He/She has a special responsibility to see that all policies and procedures are rigorously followed and that the final recommendation submitted for the unit is free of bias and based on a professional application of the standards of the unit. After reviewing the candidate's materials, the unit administrator shall attach a recommendation letter which reflects his/her professional judgment about reappointment, promotion or tenure and shall forward all materials to the dean.

B. REAPPOINTMENT, PROMOTION AND TENURE PROCESS

Prior to the beginning of the RPT process, it is recommended that faculty members, unit administrators, members of unit personnel committees and others review related sections in the *Policy Statement*:

- Section 1.1.1, Qualifications;
- Section 1.1.5, Retention and Advancement;
- Section 1.2, Recommendations for Faculty Appointment, Reappointments, Non-Reappointments, and Promotions;
- Section 1.3, Periods of Appointment and Tenure for Ranked Faculty;
- Section 1.5, Promotions in Rank; and
- Section 1.6, Reappointment and Non-Reappointment

Reappointment, especially when tenure is conferred, is an action taken because of superior performance and the promise of continued professional and intellectual growth. It is the process upon which the quality of an academic unit depends. Faculty committees and unit administrators must consider and judge carefully the faculty member's past contributions and potential for future contributions when making reappointment recommendations. Promotion is a reward and recognition for performance, not longevity. Consequently, the attainment of a minimum number of years of service alone does not justify promotion.

The following steps are taken at OSU when a faculty member is being considered for reappointment, promotion and/or tenure.

1. Identifying RPT Candidates - On or About the first week of class of the Fall semester
 - a. *Notification of Process.* Early in the Fall semester, each dean receives a memorandum from the Executive Vice President for Academic Affairs (EVPAA) outlining deadlines and requirements for that year's RPT process. Included is a Departmental Faculty Reappointment and Tenure Report which lists faculty for whom it is believed personnel decisions must be made. This includes all faculty who are within their probationary period and are scheduled that year for review of reappointment in rank. An informational copy of the EVPAA memorandum and departmental report is shared with the unit administrator.

Informational notification is also sent by the EVPAA office to each faculty member identified on the report, with a statement notifying the faculty member that his/her name has been sent forward to the dean and unit administrator and encouraging the faculty member to contact the unit administrator to verify that action will be taken as scheduled. ... Faculty will also be encouraged to review the *Policy Statement* of the Faculty Handbook and this policy and procedures letter. For reference, an overview of faculty appointment periods and time in rank is provided below.

Appointment Periods and Time in Rank. Appointment period guidelines are governed by the *Policy Statement*. This information is summarized below:

- (1) Academic appointments normally coincide with the beginning of the academic year (September 1 for 9-month appointments or July 1 for 11-month appointments). For faculty appointed after this date but before January 1, the period of probation for tenure consideration or for renewal of appointment will commence at the beginning of that academic year. The probation period for faculty appointed on or after January 1 will commence at the beginning of the following academic year.

Except for extenuating circumstances (see Section 1.3.10 of the *Policy Statement*), the period of probation for tenure consideration shall never exceed a total of seven years of continuous appointment with the University, beginning with the initial appointment to a tenure track position. Any credit for prior service

included within the seven-year probationary period shall be agreed upon in writing at the time of employment.

- (2) *Instructor* [not applicable to English Department]...
- (3) *Assistant Professor*. At the time of initial appointment, the first appointment period for an assistant professor is four years. Reappointment may be granted for three additional years. This allows for a maximum seven-year probationary period as an assistant professor.

In the normal process, two actions are required for an assistant professor. The first action is the review for reappointment which occurs during the third year in rank as assistant professor. Options at this time are: (1) first reappointment as an assistant professor for three additional years, or (2) non-reappointment. Either action would be effective at the end of the following year (fourth year). For non-reappointment actions, this timing allows for the required one year's notice of termination and would be effective at the end of the fourth year in rank (which coincides with the initial four-year appointment period).

The second action occurs during the sixth year in rank as an assistant professor. Options are: (1) [not applicable to English Department] ... (2) promotion to associate professor which confers tenure; or (3) non-reappointment. ... The non-reappointment would be effective at the end of the seventh year in rank and provides the required one year's notice of termination.

- (4) *Associate Professor*. When an individual is initially appointed at OSU into the rank of associate professor (without tenure), the initial appointment period is normally for five years. During the fourth year in rank a recommendation must be made to: (1) reappoint as associate professor which confers tenure; (2) promote to professor which confers tenure; or (3) not reappoint and give the required one year's notice of termination. A special tenure review may be made after one year of service (see *Policy Statement*, Sections 1.3.5 and 1.3.2.d). In extraordinary circumstances tenure may be expressly granted at the time of initial appointment.
- (5) *Professor*. When an individual is initially appointed to the rank of professor, tenure is often granted at the time of appointment. However, a probationary period, not to exceed three years, may be specified. If a probationary period is specified, then a special tenure review must be completed at least one year before the end of the probationary period, so that the required one year's notice of

termination can be given should the review result in a decision not to grant tenure.

- (6) Any action recommended by the unit administrator which is prior to the normal time line outlined in this section is considered an *early action*. Positive early actions will require justification based on *exceptional* performance.
 - b. *Verification of RPT Report*. To help maintain confidence in the Departmental Faculty Reappointment and Tenure Report, it is the responsibility of the dean and unit administrator to examine the departmental reports for completeness and accuracy. The dean transmits the appropriate portion of the tenure report to each academic department. The unit administrator is asked to verify information regarding reappointment, promotion or non-reappointment for each person flagged and for those not flagged but scheduled for review. The unit administrator shall review, record, initial and return corrections in the report to the dean's office. Corrected reports are submitted in the Spring to the EVPAA office when all RPT actions for the college are delivered by the dean.
2. Preparing RPT Documentation File - On or about the first week of class in the Fall semester - January 15

Faculty members should be notified by the Department Head by Friday of the first week of class of the Fall semester that they have through October 20 to assemble and submit materials believed helpful to a full review. It is the responsibility of the faculty member and the unit administrator to prepare a documentation file clearly summarizing the history of the faculty member's appointment before any deliberations begin regarding reappointment, promotion and/or tenure.

The OSU Reappointment, Promotion/Tenure Recommendations Form, "Development of the RPT Documentation File," (RPT form) is used as a guide in preparing materials and is a required document in each candidate's packet. The form is completed as follows:

- a. The unit administrator must ensure that all dates of academic appointments, reappointments and promotions while at OSU are consistent with the departmental report, employment action forms and the candidate's vita.
- b. Materials for the candidate's documentation file should be compiled and arranged by the unit administrator. The following is intended to be a minimal list of items to be provided, not necessarily a listing of the *only* items to be included.

- (1) For those candidates who have not yet been awarded tenure, the unit administrator should provide all initial appointment documents including letter of offer, position announcement and/or description.
- (2) A statement describing the work assignment within the University (teaching, research, extension, service, administration, and/or advisement) during the time period considered for the proposed action and a summary of percentages for each category of activity should be provided by the unit administrator.
- (3) Annual appraisal and development documents prepared by the unit administrator and the faculty member during the period considered for this proposed personnel action should be provided. For tenured faculty, only the documents for the three most recent formal appraisals need be included. Any written statement submitted by the faculty member as a part of, or in response to, the appraisals should be included. If the faculty member has appealed any of the appraisals to the dean, the dean's written resolution of the appeal should be included.
- (4) The unit administrator should provide written statements, if any, documenting either special achievements or deficiencies related to the proposed personnel action.
- (5) Records of sabbatical or other periods of leave (not to include annual leave) should be included by the unit administrator.
- (6) The unit administrator should ensure that copies of all applicable departmental standards, policies and procedures for reappointment, promotion and/or tenure decisions are provided. Major revisions of the above which have occurred during the tenure of the faculty member and which may affect this personnel action must be indicated.
- (7) The documentation file for a candidate being considered for tenure and/or promotion should include at least three letters from external reviewers who have been asked to evaluate the candidate's accomplishments and potential. Such evaluators should be leading scholars in their disciplines and especially knowledgeable about the candidate's areas of expertise. All units shall solicit outside reviews as a part of the RPT review process and shall develop rules for solicitation of such reviews that are consistent with policies of the academic college and with this document. [See Section V below.]

Because external letters are of considerable importance, certain cautions should be observed. First, in determining who are selected as reviewers, the candidate should be asked to provide a slate of names; the unit administrator and the unit personnel committee should also provide names; and from these two lists a group of at least three should be selected in a fair and objective manner for contact. Additionally, the candidate should be aware that a letter from his or her dissertation advisor is not acceptable as part of the external review. Similarly, letters from former students are irrelevant for this purpose although they may be useful as indicators of teaching quality. A copy of the letter sent to reviewers shall be provided to the faculty member and included in the documentation file. Units should be careful to allow sufficient time to gather outside peer review letters so that they can be included in the file by December 1.

A candidate may waive the right to access outside reviews. Such waivers shall not be assumed, implied or coerced, and must be executed in writing prior to solicitation of outside reviews (see Attachment 2 of [2-0902]). The scope of the waiver shall be clearly indicated in writing prior to solicitation of outside reviews. A copy of the executed waiver shall become a part of the documentation file. Any letter soliciting an outside review shall inform the potential reviewer of the extent to which the contents of the review will be known to the candidate.

- c. The following materials for the RPT documentation file should be provided by the faculty member. This is intended to be a minimal list of items to be provided, not necessarily a listing of the *only* items to be included.
 - (1) A current vita including a complete list of publications, instructional accomplishments, other creative activities and important achievements should be provided by the faculty member. ... [For complete departmental guidelines, see Section III C 1 below.]
 - (2) Self-assessment statement(s) on instruction, research and/or extension/public service activities are to be provided, as appropriate, by faculty members being considered for tenure.
- d. With the exception of peer review letters which the faculty member has waived his/her right to access, all materials in the documentation file should be available for review by the faculty member. Peer review letters should be placed in a colored file folder with the signed waiver form attached to the outside of the folder.

- e. If the faculty member finds that information provided by the unit administrator is incomplete or inaccurate or if there is additional documentation he/she would like reviewed, documentation should be added by the candidate to clarify and complete the file prior to the signing of the RPT form.
- f. The faculty member signs the RPT form, Section 3, which indicates that he/she has been given the opportunity to review the materials contained in the documentation file up to this point in the process, including all materials submitted by the unit administrator and faculty member, and that the file is complete. Such signature *does not* indicate that the faculty member agrees with the substance of each document. Deliberations about the recommendation on the candidate will not begin until the file is complete; therefore, the Statements of Recommendation from the unit personnel committee, unit administrator, college-level committee (if applicable), and dean *are not* included in the file at this point in the process.

3. Adding Additional Materials to Documentation File

- a. Materials can be added to/deleted from the documentation file until the unit personnel committee recommendation concerning the action is made. However, both the candidate and the unit administrator *must* be informed of the changes and be provided an opportunity to make additional modifications.
- b. Appraisal and development materials covering the period of time from the last appraisal and development document through the most recent fall semester shall be added to the RPT documentation file as soon as finalized. These documents shall be considered by the unit personnel committee and unit administrator prior to making their recommendations. It is expected that this most recent material may have to be added to the file *after* the RPT documentation file is otherwise complete, and *after* the faculty member has signified in writing that the file is otherwise complete; however, unit administrators should make strenuous efforts to complete the latest A&D review for each candidate by December 5. No new documentation regarding faculty performance or accomplishments occurring after the end of the immediately preceding calendar year may be added to the file.
- c. After the Statement of Recommendation is formulated by the unit personnel committee and recorded, the only documentation that may be added, except as noted in 4 and 5, to a candidate's RPT packet are the Statements of Recommendation from the unit personnel committee, the

unit administrator, the college-level committee (if applicable) and the dean.

- d. The candidate will be provided one opportunity to respond to a negative Statement of Recommendation and to have that response added to his/her RPT packet. The candidate will have three working days following receipt of the *first* Statement noting denial of the proposed action to formulate a response no longer than 1,000 words. The candidate will submit his/her response to the next higher review level, i.e., if the Statement noting denial is received from the department head, the response will be submitted to the dean's office within three working days.

At each review level, all reasonable efforts will be made to notify the faculty member, in a confidential manner, of the Statement of Recommendation. However, if the faculty member is not readily available due to current assignment or is unwilling to accept sensitive documents sent via U.S. mail, the opportunity to respond to a negative Statement of Recommendation is lost. The faculty member should bear the responsibility of keeping his/her department head informed of his/her whereabouts during this critical review process.

- e. If during the review process the reviewer(s) determines that supplemental written materials are to be added to the file, all documentation, including the new materials, should be sent back to the unit administrator, who will contact the faculty member and the unit personnel committee, and restart the review process. This is to ensure that all reviewers have an opportunity to deliberate on the additional materials in the event they have a bearing on the outcome of the reviewer's recommendation.

4. Reviewing Documentation File and Statements of Recommendation

Once the faculty member has acknowledged the contents of the RPT documentation file, the process of seeking faculty counsel and administrative input begins. Unit administrators are charged with the responsibility of recommending reappointment, promotion, tenure and/or non-reappointment actions. They shall obtain appropriate faculty counsel prior to making these recommendations. The manner in which input and subsequent recommendations are sought is noted below.

From January 1 to February 1

- a. *Appropriate Faculty Review.* Appropriate faculty counsel is sought when the unit personnel committee or a special or permanent committee of faculty for the academic unit involved is to review all pertinent data for those individuals who are being considered. The committee evaluates each individual's contributions in the three major areas of instruction, research

and extension, as appropriate. This evaluation is extensive, for the decision will have a direct bearing on the welfare of both the individual and the department. Consequently, the committee members will analyze annual appraisal forms, student evaluation summaries, journal articles and other publications, research results, and other outputs that can assess the individual's status as a professional. The Personnel Committee may receive comments from the faculty on candidate files prior to November 20. The Committee may interview candidates for promotion no later than January 20. Standards established in the academic unit for quality as well as quantity are a matter of professional judgment in the discipline relative to the mission and role of the unit within the college and university.

After deliberating, the unit personnel committee shall prepare a Statement of Recommendation regarding reappointment, promotion and/or tenure for the faculty member. The statement must address, in specific terms, how the faculty member has or has not satisfied applicable departmental criteria for promotion, tenure or reappointment. The numerical vote of the Committee on the recommendation must be stated. If the vote is not unanimous, the minority opinion will be stated within the letter. If more than one vote is taken, the numerical results of each vote shall be provided, along with a rationale for the process. The letter is to be signed by all committee members. This statement must be added to the candidate's RPT packet on or before January 22 and *prior* to review by the unit administrator. Additionally, the chair of the unit personnel committee or an appropriately elected representative of the faculty will record the committee's recommendation on the RPT Summary of Recommendations form, along with his/her signature.

A copy of the unit personnel committee's Statement of Recommendation, as defined above, shall be given to the faculty member in a confidential manner as soon as reasonably practical, normally within three working days, after the recommendation is finalized.

- b. *Unit Administrator Review.* The unit administrator's Statement of Recommendation to the dean must address, in specific terms, how the faculty member has or has not satisfied each applicable departmental criteria for reappointment, promotion and/or tenure. The statement must detail whether or not the performance of the faculty member adequately fulfills the published standards for the proposed personnel action. It is understood that an individual could greatly surpass some criteria and may fall short of others. Standards for quality as well as quantity are a matter of professional judgment in the discipline relative to the mission and role of the unit within the college and university. As such, the unit administrator should provide an accurate and balanced description of the person being considered. The statement of the unit administrator must be added to the

candidate's RPT packet prior to review by the college-level committee (if applicable) and/or the dean.

If the faculty member being reviewed for promotion and/or tenure also holds the position of unit administrator, it will be necessary for the dean to appoint a senior member of the departmental faculty to serve in the role of the unit administrator. The "acting" unit administrator will review the documentation file and write a Statement of Recommendation as described above. The "acting" unit administrator will also record his/her recommended action and signature on the RPT Summary of Recommendations form.

If a faculty member has a split appointment, the Statement of Recommendation is to be completed by the unit administrator of the home department after consulting with the other unit administrators to whom the faculty member reports. All relevant unit administrators are expected to sign or initial the statement. If they disagree significantly with the recommendation, the matter shall be brought to the attention of the dean of the home college for resolution of differences.

The unit administrator is also responsible for:

- (1) Ensuring that the OSU Reappointment, Promotion/Tenure Recommendation Form is complete and that all appropriate documentation is attached.
- (2) Preparing the Employment Action form for the proposed personnel action. The unit administrator then transmits the documentation file to the dean of the college.

A copy of the unit administrator's Statement of Recommendation, as defined above, shall be given to the Personnel Committee and to the faculty member in a confidential manner as soon as reasonably practical, normally within three working days, after the unit administrator's recommendation is finalized.

c. *Transmittal of the RPT Documentation File:*

- (1) If a candidate is being considered for reappointment or for tenure (and promotion in the case of an assistant professor) that individual's documentation file must be forwarded to the dean for evaluation and further transmittal to the Executive Vice President for review and action regardless of whether the recommendation is positive or negative.
- (2) If a tenured candidate is considered for promotion or an untenured candidate is considered for early tenure and promotion, and both

the unit administrator and the unit personnel committee recommend against the proposed action, that individual's documentation file will not be forwarded to the dean for further consideration unless the candidate requests otherwise. However, if the unit administrator and the unit personnel committee do not agree on a recommendation, the documentation file will be forwarded to the dean for evaluation and further transmittal to the Executive Vice President.

- (3) At any point in the process, a candidate for promotion may elect by written request to withdraw his/her name from further consideration.
- (4) It is the policy of the University that promotion of individuals is made for outstanding performance in assigned duties over a period of time. Individuals who are considered for promotion in a given year, but are not granted a promotion, may be reconsidered. However, before such reconsideration is given, it is expected that substantial change in the candidate's performance can be documented. Normally a period of two years should elapse before the candidate is reconsidered. Department heads who have candidates who wish to be reconsidered earlier must demonstrate to the dean of the college that the candidate has made substantial accomplishments since the last consideration before the review process is initiated. After review by the dean and consultation with the Executive Vice President, the department head will be notified whether or not approval is granted for reconsideration of the candidate.
- (5) If the unit administrator's recommendation is for non-reappointment, the documentation file should be sent forward to the dean along with a DRAFT copy of the non-reappointment letter.

Document 2-0902 also contains information about the RPT procedures at the college and university levels. See sections 1.0; 2.4 d – f; 2.5; and 2.6.

III. Guidelines on TENURE AND PROMOTION WITHIN THE DEPARTMENT OF ENGLISH

A. TENURE AND PROMOTION

1. The concept of tenure. Tenure is a guarantee of continued employment with all the academic rights of a faculty member until such time as the faculty member retires. Tenure may be revoked only for the reasons specified in the *Faculty Handbook* and according to the procedures articulated there.

2. The concept of promotion. Promotion is the changing of a faculty member's academic title to that of a higher rank. Promotion is to be granted only when it is judged that a candidate is already performing at the quality level of the next higher rank. Promotion is not just a reward for past service or a goad to future productiveness but a public recognition of a certain high level of competence which *both* acknowledges the past and anticipates the future.

Every candidate must demonstrate overall excellence in the composite of the activity areas of teaching, research, extension, and professionalism. *Exceptions may be made in extraordinary cases.* "Basic competence in itself, with no demonstrable improvement in either teaching, research, or extension," the *Faculty Handbook* notes, "is not sufficient to justify reappointment [or promotion]."

3. The Personnel Committee shall review and evaluate faculty holding administrative assignments within the department (Composition, Introduction to Literature, Honors, Technical Writing, TESL, Creative Writing, etc.) according to the same criteria as those applied to faculty not so assigned; administrative duties fall under the rubric of "service" (III.C.l.c.) and are thus a factor to be considered in Committee deliberations, but cannot be construed as exempting such faculty from teaching, research, and professional activities. It is assumed faculty with administrative assignments will receive released time sufficient to enable them to fulfill those responsibilities.

B. ACADEMIC PROGRESSION

1. Reappointment as Assistant Professor. Initial appointment to the rank of Assistant Professor is for four years. Reappointment for a second three-year period may be made. Guidelines for reappointment as Assistant Professor require measures of quality performance. An Assistant Professor should be reappointed only if the potential to be promoted at the second reappointment is evident and only if the confidence in the judgment of that potential seems significantly stronger than at the initial appointment.
2. Tenure for Assistant Professor. Advancement to Associate Professor shall confer tenure. The criteria for tenure for Assistant Professor and the criteria for promotion to Associate Professor are identical; that is, an Assistant Professor shall not be granted tenure without being promoted.
3. Reappointment to Associate Professor. Reappointment to Associate Professor should connote superior accomplishment. No Associate Professor should be tenured without a reasonable expectation that later promotion to Professor will be probable. Guidelines similar to those for promotion to Associate Professor should be followed in considering the reappointment of the Associate Professor whose initial appointment was at this level.

4. Promotion to Associate Professor. Promotion to Associate Professor shall confer tenure if it is not already held.
5. Promotion to Professor. Candidates who are promoted to Professor must meet the most rigorous criteria of excellence that the Department applies. An Associate Professor who performs brilliantly for several years in a row may deserve and receive rapid promotion to Professor. On the other hand, an Associate Professor who performs with good quality may require more years to achieve this highest academic rank.
6. Tenure for Professor. Promotion to Professor confers tenure if it is not already held.

C. EVALUATION AND CRITERIA FOR PROMOTION AND TENURE

The criteria and procedures below describe the categories under which a faculty member will be judged for consideration of promotion and tenure in the Department of English. It is the responsibility of the Personnel Committee to evaluate the individual faculty member's performance and to make recommendations to the Department Head. Any recommendation to the Department Head concerning tenure and promotion must be signed by the Chair and all Committee members.

1. When evaluating all faculty for tenure and promotion (through Associate Professor), the committee will consider the division of responsibilities as described by the FTE forms. The following criteria should suggest but not limit what the Committee will consider when promoting or tenuring a faculty member. Justification for the recommendation to the Head should be available:
 - a. **TEACHING.** Supervisor's evaluation, student evaluations, unsolicited letters of recommendation, solicited letters of recommendation, classroom visitation, direction and/or reading of theses and dissertations, evidence of teaching effectiveness, supervision of independent study, honors won by students under teacher's direction, quality of relationship to students, pertinent records or evidence of excellence in teaching, overall performances as teacher, and, if appropriate, class enrollments, grading system (grade books available), course syllabi, and curricular innovations.
 - b. **RESEARCH AND PUBLICATIONS.** Books (scholarly, trade, text, creative writing); book chapters; creative writing or articles published in major refereed journals, including on-line journals; creative writing or articles published in journals with regional or specialized circulation; papers and addresses delivered at national, regional, or local meetings; monographs; reports; reviews; editing of literary materials; tapes; articles printed by local or in-house organs; and grants and contracts.

While the number of publications will be noted, the quality of the publications will also be assessed for an overall scholarly rating.

- c. UNIVERSITY SERVICE AND EXTENSION. Committee assignments (University, College, Department); special meetings and/or seminars organized and directed; student organizations advised; extension courses designed and taught on campus or off campus; preparation of correspondence courses; and professionally related community service. Willingness to perform an appropriate share of Departmental professional duties should be evident.
- d. PROFESSIONALISM. Membership and participation in professional organizations; special recognitions, awards, grants, and appointments; relationships to colleagues and to administrators.

The following statements address performance standards for Associate and Full Professors. While other sections of the Guidelines may also address such standards (see “B” below), in cases of disagreement what follows shall take precedence.

2. Tenure and Promotion to Associate Professor.

The English Department grants tenure to candidates who have become established in their scholarly field, who have developed a record of excellence in teaching, and who have served the department and/or the university.

The successful candidate should have an excellent record of teaching. Both the content and performance of the candidate’s teaching will be considered. The candidate should provide documents that show the scope and the quality of what he/she teaches, along with evaluations from students and peers that attest to the effectiveness of his/her performance.

The successful candidate for tenure and promotion to Associate Professor must have established and implemented a **research agenda**—prolonged and steady attention to one area or connected areas of inquiry or creativity. A candidate provides evidence of a research agenda by presenting at the time of tenure a major project, such as a book-length manuscript, or a series of related projects. Examples of suitable projects include the candidate’s dissertation revised for publication, a volume of poetry, fiction, or other creative work, a scholarly edition, translation, or bibliography, a group of scholarly articles on related subjects which establish the candidate’s influence on an area of inquiry, a group of poems, short stories, or other creative work appearing in several venues.

The research agenda must, in the view of the Department and of the external peers, make a meaningful contribution to the candidate’s field of study. Moreover, by the time of tenure review, a substantial amount of the materials

composing the research agenda must have been accepted for publication, and a significant portion of those materials must be in print.

Finally, the successful candidate for tenure and promotion should have established a record of service to the department and/or the university, through official committee work or through informal participation that enhances the quality of faculty, graduate and/or undergraduate life.

3. Promotion to Professor.

According to the University's Policy & Procedures Letter 2-0902, "The rank of professor, the highest rank in the university, designates that the faculty member's academic achievement merits recognition as a distinguished authority in his/her field. Professional colleagues, both within the university and nationally, recognize the professor for his or her contributions to the discipline."

The candidate for promotion to Professor must meet the most rigorous criteria of excellence that the Department applies. The candidate should have a distinguished record as a teacher of undergraduates and graduate students. As a professional in an academic setting, the candidate should also have a solid and consistent record of service, especially to the department and its mission. And because advancement requires a "record" of achievement and service, normally an Associate Professor will not apply for Full Professor before the fifth year of his or her term.

The English Department and its graduate students (especially those pursuing the doctorate) expect faculty members to be active as researchers, scholars, or as writers. Though teaching, service, and professionalism figure into the equation for promotion to Professor, no candidate may be promoted without an exemplary record of scholarly productivity. While candidates for promotion to Professor will be evaluated on their entire scholarly oeuvre, they must present work beyond both the dissertation and the achievements that led to promotion to Associate Professor. The candidate for promotion to Professor will normally be expected to have published two books and to show that the book (or books) published *after* the candidate's promotion to Associate Professor represent intellectual or scholarly development. Candidates for Professor may also make a strong case for promotion by presenting one book or an equivalent body of work of quality and significance beyond the achievements that led to promotion to Associate Professor. Again, such work will generally represent intellectual or scholarly development beyond the work that earned the candidate tenure..

In part through rank alone, the Professor represents the strength of the Department to the greater academic community. It is thus in the best interests of the Department to promote only those candidates whose records—beyond doubt—merit the honor that the title "Professor" confers.

IV. Guidelines on EVALUATION OF QUALITY

This section of the Guidelines deals with the quality of performance because the issue deserves special attention; however, the assessment of quality is inextricably related to the categories outlined in Section III, above. No member of the Personnel Committee should venture to use the categories in Section III without first giving this section of the Guidelines a thoughtful reading. (The categories are identical for both sections.)

- A. **TEACHING.** The English Department affirms that the Personnel Committee should avoid over-dependence on student evaluations because, as the College of Arts and Sciences study known as the Lawry Report observes, student evaluations provide teachers with student perceptions of their teaching and thus may assist them on *how* to teach better, but the evaluations cannot assess the quality and scope of *what* they teach. Students are not in a position to do this” (p. 10). When assessing the quality of a teacher’s performance, the Personnel Committee should consider course outlines, sample examinations, student papers—in fact, anything which will document the quality of education taking place in classrooms.
- B. **RESEARCH AND PUBLICATIONS.** Faculty members must share the results of their research. At professional meetings, the scholar tests the first thought crystallization. Members of a special field gather impressions of and—over a period of time—can give testimony concerning the quality of the scholar’s work. When promotion and tenure decisions must be made, both the Personnel Committee and affected faculty members should tap outside opinions. In assuming leadership roles for regional and national organizations, scholars show that they have the confidence and respect of their peers.

A simple question should be used when evaluating the quality of published scholarship:

“Is the piece of writing a ‘service’ performance or does the work contribute new facts or new concepts to the field?”

While service performances are of value, original work should receive special consideration. Quality and originality seem to be related concepts.

C. UNIVERSITY SERVICE AND EXTENSION

1. **Service:** When appointed to a committee or service group, does the faculty member actually *serve*? Mere attendance at meetings is no indication of the quality of performance in a service role.
2. **Extension:** Does the faculty member perform extension duties in a manner that promotes the image of the Department and University to traditional and nontraditional audiences in the state?

D. PROFESSIONALISM

1. What professional organizations has the scholar joined and what is the intensity of participation?
2. What is the stature of the recognitions, awards, and grants that the faculty member has received?
3. Relationship to Colleagues: One of the most thoughtful segments of the College of Arts and Sciences study known as the Lawry Report addresses the issue of collegiality. Whereas collegiality is hard to define, it is essential to every Department. The English Department endorses the view put forth in the following passage and asks the Personnel Committee to give it serious consideration:

It is necessary to protect the Department against capriciousness when lack of collegiality becomes an issue in tenure or promotion cases. Brilliant, productive people may be loners or joiners, abrasive or kindly, short-fused or even-tempered. Thus, in assessing collegiality, a clear distinction must be made between those whose attitudes and actions function critically and constructively in relation to the discipline and the discipline and the Department, however difficult they may be to get along with, and whose actions and attitudes function destructively, even if they may be easy-going. The latter would be those who maliciously tear down their colleagues, the Department, the administration, the University; who create morale problems; who, in most situations where issues are in conflict, take positions that are self-serving at the expense of other colleagues; who lack integrity in dealing with colleagues and administration. Departments must work out specific ways of assessing a faculty member's functioning in this area, taking great care not to establish thereby a restrictive personality norm.

As a community of intellectuals, a Department must be careful that disagreements over ideas do not deteriorate into personal animosities. The notion of collegiality implies that there is a special common ground for members of a discipline.

4. Relationship to Administrators: The administrator has a necessary and difficult task of leadership. Annual faculty evaluations are required of administrators as are decisions concerning teaching assignments, faculty travel, budget allocations, etc. It is inevitable that faculty members will occasionally be unhappy with an administrative decision: during such moments of friction, faculty members and administrators will display such qualities as character, integrity, maturity, and—it is hoped—a sense of humor. Through the ups and downs of faculty-administration relations, the long term should be characterized by tolerance and professionalism. The quality of life for everyone in a department is affected daily by the temper of faculty-administration relationships.

V. Guidelines on EXTERNAL PEER REVIEW FOR PROMOTION AND TENURE

External peer review is required for all candidates who seek tenure and promotion to Associate or Full Professor. A peer in this context is a faculty member at a research university in a program or affiliated with a program granting graduate degrees who has recognized expertise in the area of a candidate's specialty. Three external peer reviews are required. (Also, see Section II above, part 2.2 b 7 of document 2-0902.)

The external peer review should be arranged according to these guidelines:

- A. The Personnel Committee is responsible for initiating the review. The Committee will ask the candidate to specify his or her area of expertise. The Committee will then select names of ten peers in this area of expertise from qualifying institutions (as designated above). In doing so, the Committee should consult with knowledgeable faculty in, and, when necessary, outside the Department. At the same point in the process, the candidate should be given the opportunity to suggest some reviewers; the nature of the candidate's relationship with the proposed reviewers should be indicated. Former teachers of the candidate (including thesis advisers and committee members), personal friends, and collaborators (such as co-authors and co-editors) shall not be chosen as peer reviewers.

The Personnel Committee will initiate arrangements for selecting three reviewers following the candidate's ordering (see below). If the initial ten names prove insufficient, the Committee will provide the candidate with a new list of at least five names (for the selection of one reviewer) or a list of ten names (for the selection of two reviewers). Once the Department Head receives the reviews, the Personnel Committee is responsible for evaluating them according to Section III C 1b above.

- B. The candidate is responsible for the following:
1. Deciding about the Waiver of Confidentiality and signing the form.
 2. Ranking the peers selected by the Personnel Committee. When presented by the Committee with the list of ten names, the candidate will rank them in order of preference and indicate the nature of his/her relationship with each person on the list. The Committee will accept a candidate's refusal to rank certain names on the grounds of inappropriate area, lack of expertise, and friendship or established professional relationship with the proposed reviewer. Any name the candidate ranks is thereby considered acceptable.
 3. Preparing for the peers a folder representing evidence of scholarly activity as defined in Section III C 1b (Guidelines, "Research and Publications," p.17). Material sent to reviewers should be carefully selected in a consultation between the candidate and the Head and/or his/her mentors. Material—which may include work in progress, in circulation, and in press—should represent the candidate's achievements yet not place an unreasonable demand on the reviewer's time.

Candidates for promotion to Professor may present work from their entire scholarly careers.

- C. The Department Head is responsible for the following:
1. engaging and paying for services of the reviewers;
 2. requesting an evaluation of the candidate's potential as a scholar or writer of national or regional repute;
 3. arranging for the submission of material to the reviewers (duplicating and mailing);
 4. handling necessary correspondence between the Department and the reviewers;
 5. evaluating the reviews according to GUIDELINES (Section III c 1 b, p. 17).
- D. Reviewers should have the option of requesting specific materials. They should be given at least six weeks to prepare an evaluation, and they should be informed about the outcome of the case.

VI. Guideline on TIME IN RANK AND PRIOR SERVICE FOR PROMOTION AND TENURE

- A. Time in rank. In general, a faculty member should be promoted when that member's qualifications and scholarly record match the criteria published in Departmental job descriptions (attached) for the next rank, with time in rank a minor consideration.
- B. Prior service. The evaluation of a professional record established at another institution presents special problems. Provided evidence of continuity of performance has been given, which might normally require two years or more in residence, achievement attained in another environment should be included fully in a review of a candidate for tenure/promotion. Should the previous experience have been within a different professional context, the tenure/promotion practice should be such as not to handicap the Department in the hiring of exceptional talent. The most critical question in evaluating previous achievement concerns the degree of independence exercised by the individual in question. Of course, ideally, new employees should be hired at a level commensurate with their professional stature. However, certain new faculty will have approached but not achieved the qualifications of a particular rank. Such faculty should subsequently be reviewed as described above.

VII. Guideline on ASSESSING DEPARTMENTAL NEEDS IN GRANTING TENURE

Candidates for tenure should be evaluated within the following contexts:

- A. Relation to Department programs. The relationship of the candidate's specialty and interests to the long-range goals of the Department shall be assessed.

- B. Relation to current faculty. The candidate's relative strengths and weaknesses shall be projected against the strengths and weaknesses of the currently tenured faculty.
- C. Change of Departmental programs. The faculty's assessment of the Department's needs might indicate the necessity of a change in emphasis. This would be particularly important in a field that has experienced recent growth in areas not covered by the current faculty. If the faculty feels that a change is necessary, the candidate for tenure should be notified of such a change and the ability to fulfill the new requirements should be considered before the Department institutes any search for a new candidate. In some instances the on-board faculty member will welcome the new career direction.
- D. Special Department service. The ability of the candidate to fulfill any special needs of the Department shall be noted. Examples might include the ability to recruit students, to be effective in public relations, extension, etc.

VIII. Guidelines on ENGLISH DEPARTMENT GOALS AND OBJECTIVES

It is realistic to believe that the OSU English Department can aspire to regional eminence overall and that, in certain areas of its activities, can hope to achieve—has, in some instance, already achieved—national recognition for its faculty and selected areas of study. Thus, broadly, the Department envisions its future as the equal of any English Department in its Big XII peer group and can, with continued effort and support, solidify a reputation of much wider renown in selected areas of this very heterogeneous discipline.

A priority ranking of the professional mission assigned to the Department is inescapable. It is clear in the contexts of the Department, the College, the University, and the discipline at large that the Department cannot be “all things at once” and that it must recognize where its greatest strengths and potential lie and must focus its endeavors within the framework of the perception. For these reasons, teaching effectiveness and scholarly/creative productivity must receive greater attention by the English faculty than either extension or service activities.

Teaching effectiveness is a primary concern not only because it is a basic responsibility of all professionals in higher education but also due to the fundamental nature of this discipline's subject matter—literacy, effective written communication skills, literature, critical thinking, and human values. In addition, the Department's historical “service” to the entire University student body, manifest in the University composition requirements and the ever-increasing role it enjoys in the teaching of writing skills to students majoring in various technical areas, warrant this assertion. An unremitting scrutiny of our performance in the classroom (and outside the classroom, where much valuable teaching takes place) is necessary; without effective teaching, no “base” for other Departmental activities and goals exists.

Equally important to the Department is the stimulation of higher levels of *scholarly/creative productivity*, with respect to both quantity and quality. First, ambition in this area of activity is directly related to teaching effectiveness; the tangible substance, efficient organization, and lively style of effective classroom presentations are a logical, and probable, outgrowth of the

quantity and quality of the individual instructor's consistent, serious endeavor as scholar and author, as participant in the larger professional community nationwide that constitutes the ultimate audience. Department self-interest is a significant motivator in this regard also. The Department's graduate programs cannot (and should not) survive the current pressures on the discipline without a faculty whose productivity genuinely earns the respect of professional peers. Recent history provides a clear message: if the faculty fails to continue the trend of markedly improved productivity that began some years ago, it runs the risk of losing such University support for its graduate programs as it now enjoys, of declining to the status of "servicing" only those students who will enter the Department because of convenience and/or inability to qualify for other programs.

If teaching excellence can be said to be the base value in the Department's structure of mission priority emphasis, then the scholarly/creative productivity of its faculty is most certainly the edifice, the "crown" that cannot stay in place, that has no reason for existence, without that base; at the same time, the substance and solidity of that base will erode if there is no "roof" to shelter it.

Extension activity is encouraged and should be supported but must be subordinate to teaching and scholarly/creative productivity. This subordination derives from the nature of the discipline and the context of OSU's history, its present composition, and its geographic location. A portion of the English Department's particular subject matter (advanced literary study, basic composition) is only minimally "exportable"; given the University's relative geographic isolation and the existence of competing institutions in the state's few urban areas, there is a limited audience/market for English extension activities. There are exceptions to this; technical communication skills and film-literature study/appreciation have, and should continue to have, excellent extension possibilities. To date, the Department's extension "delivery" has been excellent in the context of little or no University support, and there is no reason it should not continue so, but the Department's thrust for the future must recognize that extension activity cannot be considered on a par with teaching and scholarly/creative productivity.

There will always be *service responsibilities* for faculty within the Department. Some are traditional (committee assignments), some created to respond to professional realities (recruiting, placement). In the category of service lie the various administrative assignments within the Department (program directors and coordinators, course supervisors). Excellence in the carrying out of these assignments must be recognized and rewarded, but it should be the clear understanding of the Department that service, no matter how broadly or narrowly construed, cannot displace missions more vital to the Department's future. There will always be opportunities for English faculty to serve the College and University via committee work, program development, special assignments, etc. These activities can be time-consuming and exhausting, and some of them are of vital interest to the Department. But service activity cannot, and should not, be valued to the extent it substitutes for more fundamental faculty responsibilities: teaching, scholarly/creative productivity, and extension activity.

A priority ranking of Departmental programs of study is difficult, if not impossible, given the interdependence of the varied areas of interest and activity in the Department. The Department has, in recent years, declared areas of development (technical and report writing, film-literature

studies, creative writing, TESL) that distinguish it from peer departments in the Big XII region. Yet the Department also recognizes that literary study remains the subject-matter “backbone” of any English department’s program. The Department has shown that it can and does respond to opportunities generated by national, regional, and University needs and demands; in the end, the Department must equate and balance its emphasis on activities derived from its relationship to other College and Department needs (the composition program, technical writing), its historical role (English majors, language arts education majors), and new, developing areas of opportunity (film-literature studies, creative writing, TESL).

The implications of the above statement for the Department’s criteria for tenure, promotion, and annual faculty evaluation seem apparent. OSU English faculty must be effective *teachers* and productive *scholars/writers*; they must be alert and responsive to extension possibilities, and willing to assume *service* obligations where they exist or arise; they must, whatever their specialized areas of interest and expertise, understand their roles and activities as rooted in our academic tradition of literary study. Of equal and transcendent importance, they must understand and manifest an active awareness of the interdependence of the elements of our programs (graduate, undergraduate, “service,” literature and language studies, specialized studies) and of the responsive give-and-take relationship between the Department, the College, the University, and the discipline at large.

Whatever facet of Departmental, College, or University activity English faculty members find themselves engaged in, they are, first and last, professionals. If this much used, though seldom defined, term is to be anything more than a convenient shibboleth, then *professionalism*, a devotion to and observance of the highest possible standards in all phases of academic activity, must become, not the exception, but the norm for English faculty in their manifold relationships with students, colleagues, the various levels of University administration, and the public the Department exists to serve.

In the spirit of affirmative action, the English Department is an equal opportunity employer.

IX. Guideline on ANNUAL APPRAISAL/MERIT RAISE REVIEW PROCESS

Every faculty member will receive an annual appraisal from the Department Head; during the calculation of the appraisal/raise in each case, the Department Head should be guided by the criteria outlined in Sections III and IV of these guidelines. From time to time, there may be significant disagreement about the appraisal rendered. Because faculty merit pay raises are linked to annual appraisals, such conflict involves more than self esteem. The faculty member may ask the Personnel Committee to review the annual appraisal. The steps for an intradepartmental review are as follows:

- A. REVIEW REQUEST. Either the faculty member or the Department Head may request a review. The request should be made in writing.

Both the Department Head and the affected faculty member will be asked to provide documentation. The kinds of materials described in Section III of these Guidelines would be appropriate, but there may be additional materials.

- B. REVIEW PROCESS. The Personnel Committee will meet and review the criteria described in Section III C.1 and C.2.
 - C. REPORTING PROCESS. The Chair of the Personnel Committee will report the decision of the Committee to the Department Head for action. The Committee may decide to uphold the decision of the Department Head or it may recommend a different category for appraisal/raise. In either case, the Committee's letter of report should be signed by all members of the Committee, with a copy to the personnel file of the faculty member involved. The Committee's letter of report will be shared with the faculty-member and will be forwarded to the Dean for his review, along with the original appraisal document, should the faculty member concerned elect the review described in IX. D. below.
 - D. DEAN'S REVIEW REQUEST. If the faculty member feels the original disagreement has not been satisfactorily resolved through the intradepartmental and the Department Head's review, the faculty member may request in writing that the matter be sent to the Dean for resolution.
- X. Guidelines on DEFINING AND FILLING NEWLY CREATED TEACHING POSITIONS AND TEACHING VACANCIES
- A. The defining and filling of newly created teaching positions and teaching vacancies in the English Department must be in compliance with the University and College of Arts and Sciences procedures concerning equal opportunity and affirmative action.
 - B. The English Department Personnel Committee, either on its own initiative or at the request of the Department Head, shall consider the needs of the Department to create a new teaching position to fill a teaching vacancy. The Personnel Committee will bring options for creating or filling such a position to a meeting of the General Faculty in order to solicit the opinions of the faculty in the form of a discussion and non-binding poll (the Committee may opt to conduct the latter in writing subsequent to the meeting). Based on this discussion and non-binding poll, the Committee will make a recommendation to the Department Head, who will formulate an appropriate description of the position.
 - C. The Head of the English Department shall submit a "Request to Staff a New or Vacant Faculty or A&P Position Form" to the Dean of the College of Arts and Sciences. Upon authorization by the Dean that the Department may hire or advertise, the Head shall announce the vacancy by placing an advertisement in the *Chronicle of Higher Education* and/or other national professional publications and by writing letters to people or institutions.
 - D. After the published deadline for applications, the Personnel Committee will recommend to the Head (for each advertised position) an ad hoc committee of three or more faculty members and one ex-officio graduate student member with expertise in the field of specialization being sought. The Head will appoint the committee and will designate one of the members as chair. The search committee(s) will review the credentials of the

- applicants for the position(s). Following the published deadline for applications, the search committee(s), considering any input received from the General Faculty, shall recommend to the Department Head a ranked list of candidates to be interviewed by the Department Head, and/or members of the search committee(s), and/or other members of the Department at MLA, CCCC, TESOL, or other professional meetings, or by other appropriate means.
- E. The Department Head shall arrange for the number of interviews according to budget limitations, dates for the interviews, and the interview program schedules. Budget permitting, the Head shall attempt to insure the participation in the interview process of as many members of the search committee(s) as possible.
- F. The search committee(s) shall meet as soon as possible after such interviews are conducted and, after seeking the opinion of all faculty who participated in the interviews, shall provide the Department Head with a ranked list of finalists to be invited for campus visits. The committee shall also send a memo to the faculty listing the candidates recommended for campus interviews, outlining the reasons for selecting said candidates, and explaining how the chosen candidates met those criteria. After all candidates have visited campus, the search committee shall meet in order to write a report. At this meeting, the ex officio graduate student member shall present a summary of graduate student opinion concerning the candidates. The search committee shall then give its report, which shall include a summary of graduate student opinion, to the Chair of the Personnel Committee.
- G. As soon as possible (generally within two working days) after campus interviews are completed, the Chair of the Personnel Committee shall call a meeting(s) of the General Faculty for the purpose of communicating the report of search committee members and discussing the strengths and weaknesses of the candidates interviewed on campus. The Chair of the Personnel Committee shall moderate discussions among members of the search committee(s) and the General Faculty. Any faculty member who is unable to attend the meeting may submit written comments and a ranking of candidates to the search committee chair in advance of the meeting. These comments shall be read at the meeting. Following the discussion, the faculty as a whole shall vote on rank ordering of the candidates for each position. Upon completion of balloting, the search committee shall meet to formulate a recommendation, along with a written rationale for its recommendation, which shall include a consideration of the faculty meeting and the ballot. The committee shall give this recommendation and the ballots to the Department Head. The committee shall send a copy of its recommendation along with the results of the ballot to all members of the faculty.
- H. After getting a recommendation for hiring, the Department Head should, as soon as possible, telephone the top-ranked recommended applicant. This communication should include the following:
1. Confirmation of continued interest and availability of the applicant;

2. Review of salary, rank, tenure and promotion procedures, and workload;
 3. Willingness of applicant to fill out and submit formal application for position. (If the first recommended applicant is no longer interested or available, the Department Head may contact the second ranked applicant and third as needed.)
- I. After receiving confirmation from the top available recommended applicant, the Department Head will follow current University procedures in composing a formal letter of offer to be sent to the applicant as soon as possible.
- J. When the applicant returns the completed job application form and the letter of acceptance, the Department Head shall send all necessary documentation to the College of Arts and Sciences:
- K. **HIRING AND REAPPOINTMENT OF LECTURERS**

The Teaching Assistant/Lecturer Selection Committee (as defined in English Department Policies and Procedures p. 14) will evaluate the credentials for appointment or reappointment to the position of lecturer and shall make a recommendation or recommendations to the Department Head. The Department Head will then proceed with the hiring process as the staffing situation warrants. In an emergency staffing situation, the Department Head should make an effort to consult with as many members of the Teaching Assistant/Lecturer Selection Committee as (s)he can readily contact but may proceed with the hiring process without having consulted with a majority of the committee members.

L. **HIRING AND REAPPOINTMENT OF ADJUNCT FACULTY**

The English Department Personnel Committee will evaluate the credentials of any applicant for an adjunct position to the Department and make a recommendation to the Department Head.

M. **HIRING OF VISITING ASSISTANT PROFESSORS**

1. When departmental needs dictate, and the Dean has granted his permission, a search may be conducted for a Visiting Assistant Professor to fill a temporary position. This is a non-tenurable position granted for one year and renewable for up to two additional years.
2. The Head will announce the position in the appropriate national professional publications as promptly as possible, soliciting applications and dossiers from qualified persons.
3. After consulting with the Personnel Committee, the Head will appoint three faculty to serve as the hiring committee, and will designate one person as chair.

The hiring committee will review the credentials of all applicants for the position(s), and conduct interviews, usually by telephone.

4. As soon as possible after interviewing candidates, the hiring committee will send a ranking of the most qualified candidates to the Head. Given that these positions are usually opened late in the year and that some candidates might receive other offers before coming here, the hiring committee should provide names of enough qualified alternates to ensure the position(s) will be filled.
5. Upon receiving the hiring committee's recommendations, the Head will follow the procedures outlined in sections H through K above.

XI. POLICIES FOR SELECTION, EVALUATION & RETENTION OF THE DEPARTMENT HEAD (approved by general faculty 5/96; modified and approved 3/17/97, 3/18/01, 11/22/06)

- A. **POLICY.** University policies and procedures govern the granting of permission to staff a position, the recruiting for the position from an appropriate candidate pool, and the hiring of an individual to fill the position. The selection of a Head for the Department of English is a joint endeavor between the English faculty (henceforth, the Department) and the Dean.
- B. **DUTIES AND RESPONSIBILITIES OF THE DEPARTMENT HEAD.** The Department Head is the chief representative of the Department in its relations with the College, the University, and the public. The Head is also the leader of the Department and as such is responsible for personnel decisions, budgets, staffing of courses, and the smooth operation of the day-to-day activities of the Department. As Unit Administrator, the Department Head has duties concerning faculty appointments, promotions, tenure, appraisal and development, and faculty workload, which are prescribed by the University and the College. As leader of the Department, the Head is obligated to initiate and support programs that will enhance the quality of the Department.

The Department Head will usually be expected to choose a member of the faculty to serve as Associate Head and delegate some of the duties of the Department Head to that individual. The Head will also appoint the Graduate Coordinator and Program Directors when their positions become vacant. The Head may also appoint members to ad hoc departmental committees as necessary.

- C. **TERM.** The Department Head will be elected to an initial term of three years. There will be no limit on the number of terms a Department Head may serve.
- D. **REGULAR EVALUATION OF THE DEPARTMENT HEAD.** The tenured and tenure-track faculty will regularly evaluate the Head in March of the second year of each term. The Personnel Committee Chair will initiate the process by distributing the following six questions to all tenure-track and tenured faculty and requesting a written response to them.

1. Does the Department Head give prompt and reliable attention to administrative detail?
2. Does the Department Head communicate, interpret, and fairly apply administrative policies and procedures?
3. Does the Department Head interact effectively with faculty and all levels of administration so as to contribute to the maintenance of faculty morale?
4. Is the Department Head effective in obtaining and utilizing the resources (physical, fiscal, and human) needed for the Department to achieve its mission?
5. Does the Department Head provide leadership and opportunities for the professional development of faculty and staff and for the continued development of Department programs?
6. Does the Department Head exhibit continued personal professional development and achievement?

After receiving responses from the faculty, the Personnel Committee will compile and forward all the written responses to the Department Head and will provide the Department Head an opportunity to respond in writing. The faculty will receive both the compilation of the written responses and the Head's response, if any. The Personnel Committee Chair will then call a meeting of the faculty to discuss faculty's written responses and the Head's response, if any. After discussion, the Personnel Committee Chair will distribute a ballot requesting all voting faculty (tenured and tenure-track members of the English Department) to rate the performance of the current Department Head as "Satisfactory" or "Unsatisfactory." This rating will be conducted by secret ballot. The ballot box will be placed in Morrill 205. The deadline for receipt of the completed ballots will be five working days later. Should any eligible voting member of the faculty be absent from campus at the time of the ballot, the Personnel Committee Chair will attempt to obtain the vote of this member. After the deadline for voting has passed, the Personnel Committee Chair and the tenure-track member of the Personnel Committee will count the ballots. The ballot count will be reported to the faculty, Head, and the Dean of Arts and Sciences.

- E. **SPECIAL INTERIM EVALUATION OF THE DEPARTMENT HEAD.** An evaluation of the Department Head may be conducted at any time during the Head's term. If such an evaluation is desired at any time other than that regularly scheduled, it will be initiated upon receipt by the Personnel Committee Chair of a written request, signed by at least one third of all the tenured and tenure-track faculty in the Department. The evaluation will then follow the procedures outlined above for the regular evaluation of the Department Head.
- F. **RENEWAL OF THE TERM OF A DEPARTMENT HEAD.** If the Dean informs the Department that the present Head wishes to seek another term, the Dean will initiate the

renewal procedure by appointing a Returning Officer in consultation with the English Department Personnel Committee. Meanwhile, the Personnel Committee Chair will poll the faculty to determine whether the faculty wishes to evaluate the Head before voting on renewal of the Head's term. If more than 30% of the faculty wishes to reevaluate the Head, the Personnel Committee Chair will follow the procedure outlined in section XI.D above.

Following the completion of this procedure or following the Personnel Committee Chair's determination that there is insufficient support for a reevaluation, the Returning Officer will call a meeting to discuss the Head's renewal. Ballots that allow for ratings of "Acceptable" or "Unacceptable" will be distributed at the meeting.

The Returning Officer will set a deadline of not more than five business days for receipt of these ballots. Should any eligible voting member of the faculty be absent from campus at the time of the vote, the Returning Officer will, in consultation with the Department, attempt to obtain the vote of this member. The deadline should allow for receipt of absentee ballots.

After the deadline for voting has passed, the Returning Officer will count the ballots in the presence of the Personnel Committee; the Returning Officer will report the results to the Dean. To be renewed, the current Head should receive a rating of "Acceptable" from at least 60% of those voting. Should the Dean not follow the Department's recommendation, the Dean will meet with the faculty to explain the decision. In the event that the Dean decides not to renew the Head's term, the Dean and Department will implement a search for a new Head, as outlined below.

- G. **INTERNAL DEPARTMENT HEAD SELECTION.** If the Dean informs the Department that the present Head does not wish to seek another term, the Department will in most circumstances search for a Head from within the ranks of its own tenured faculty. The Dean will initiate the procedure by appointing, in consultation with the English Department Personnel Committee, a Returning Officer to oversee the selection process.

The Returning Officer will invite nominations for the position of Head from the Department faculty. The nominations (including self-nominations) can be made by any member of the voting faculty and must be submitted in writing to the Returning Officer by a specified deadline. Upon receiving a nomination, the Returning Officer will contact the nominee and solicit a written acceptance of the nomination. A nominee who accepts will be declared a candidate.

All candidates for the position of Head will prepare a statement of no more than 500 words outlining their goals for the Department. These statements will be submitted to the Returning Officer, who will then distribute them to the Dean and the voting faculty. The Returning Officer will then call a Department meeting for the purpose of discussing the candidates. Candidates will attend part of this meeting to answer questions from the faculty. These questions may be raised at the meeting or given signed or unsigned to the Returning Officer. In the event that there are more than two candidates, a vote by secret

ballot will be taken at the meeting in order to narrow the field. These ballots will be counted by the Returning Officer and the untenured member of the Personnel Committee. The two candidates receiving the largest number of votes will each make a presentation to the Department outlining their goals for the Department. In the event that there is a single candidate, the final ballot will be a vote to determine the candidate's acceptability.

Within one day after the last presentation, the following ballot will be distributed to the voting faculty:

Vote for one candidate by checking the blank at left. Also indicate to the right of each candidate's name whether that person would be acceptable or unacceptable as Department Head.

_____ **Candidate One:** ___ acceptable ___ unacceptable
 _____ **Candidate Two:** ___ acceptable ___ unacceptable

Comments:

The Returning Officer will set a deadline of not more than five business days for receipt of these ballots. Should any eligible voting member of the faculty be absent from campus at the time of the vote, the Returning Officer will, in consultation with the Department, attempt to obtain the vote of this member. The deadline should allow for receipt of absentee ballots.

After the deadline for voting has passed, the Returning Officer will count the ballots in the presence of all members of the Personnel Committee who are not candidates. The Returning Officer will provide a tally of the votes, indicating both the ranking of each candidate and the number of acceptable and unacceptable ratings each received. The Returning Officer will send the tally to the Dean and to every voting member of the Department. All original ballots, including comments, will be sent to the Dean. No copies of the ballots will be made, and no material will be retained by the Returning Officer after transmittal to the eligible members of the Department and the Dean has been completed. The Returning Officer will ensure the confidentiality of the process and will not transmit any information about the process to any person or persons other than the eligible members of the Department and the Dean.

The new Head should receive the most votes and a rating of "Acceptable" from at least 60% of those voting. Should the Dean deem it necessary to appoint a Head other than the Department's first choice or to appoint a Head who did not receive at least a 60% approval rating, the Dean will meet with the faculty to explain the decision.

- H. **EXTERNAL DEPARTMENT HEAD SELECTION.** With the approval of the Dean, the English Department may elect to conduct a national search for the position of Head. In such a case, the Department will follow the procedures described in the College procedure for the "Selection of Unit Administrators" with the following addendum: In addition to the Chairperson chosen from outside the Department, the Search Committee

will contain four English Department members, representing faculty members from each rank, plus a tenured-at-large member. These will be elected in accordance with procedures for electing Personnel Committee members. See section I.B.2 of these Guidelines.

- I. **TEMPORARY REPLACEMENT OF THE HEAD.** In the event that the Department Head is unable to serve because of illness, injury, or other unforeseen circumstances, the Associate Head of the Department will confer with the Dean about temporarily assuming the Department Head responsibilities. Only in extraordinary circumstances should this arrangement continue beyond one semester. If the Head will not be able to return as Head after one semester, the Personnel Committee Chair will implement the Department Head selection process.

XII. **Guideline on AMENDING THE ENGLISH DEPARTMENT PERSONNEL GUIDELINES**

These Guidelines may be amended with the vote of 2/3 of the English faculty. Such amendment(s) should be formulated or reviewed by the Personnel Committee prior to submission to the faculty for a vote.

XIII. **English Department Faculty: GENERALIZED JOB DESCRIPTIONS BY ACADEMIC RANK**

A. **TEACHING ASSISTANT AND ASSOCIATE**

1. **Qualifications:** A teaching assistant must hold a bachelor's degree—a teaching associate the master's degree—in English or a closely related field from an accredited institution of higher learning. To be considered for appointment, an individual must gain admission to the Graduate College of OSU to an English graduate program and must provide strong recommendations from teachers in the discipline and/or employers testifying to the individual's academic and/or job-related ability and achievement.
2. **Duties:** A TA's duties include teaching courses or tutoring, as well as associated responsibilities. After two semesters of residence, a TA may be asked by the Department Head to carry out administrative assignments such as serving on committees and in supervisory capacities in multiple-sectioned courses.
3. **Appointment and Evaluation:** TAs are appointed by the Department Head, acting on the recommendation of the TA and Lecturer Selection Committee. They are annually evaluated for reappointment by their faculty supervisor, the TA and Lecturer Committee, and the Department Head on the basis of their teaching effectiveness, administrative competence, professionalism, and standing in their degree programs.

B. LECTURER

1. **Qualifications:** A Lecturer must hold at least a master's degree in English from an accredited institution of higher learning, or the equivalent in appropriate training and/or professional experience. To be considered for appointment, an individual must also furnish strongly supportive recommendations from former employers in the profession and/or former teachers, testifying to the individual's teaching ability and/or achievements.
2. **Duties:** A Lecturer's duties include effective teaching, including all duties and responsibilities associated with such activity.
3. **Appointment and Review:** Lecturers are appointed by the Department Head, acting on the recommendation of the TA and Lecturer Selection Committee. They are evaluated for reappointment by their faculty supervisor, the TA and Lecturer Selection Committee, and the Department Head on the basis of their teaching effectiveness and professionalism.

C. VISITING FACULTY

1. **Qualifications:** Visiting Faculty, to be considered for appointment, should possess qualifications that reflect the particular rank (Assistant, Associate, Professor) for which they seek that appointment.
2. **Duties:** The duties of Visiting Faculty include effective teaching of undergraduate courses, including all duties and responsibilities associated with such teaching; they are also encouraged to undertake activities beyond the scope of the Department such as publication in professional journals, or participation in professional organizations or at professional meetings. Visiting Faculty may teach graduate courses and may serve on graduate student advisory and examination committees, but they may not direct theses or dissertations and may not serve as graduate student advisors. Visiting Faculty may attend departmental meetings, but do not serve on ad hoc and standing departmental or college committees, or vote on departmental or college business.
3. **Appointment and Review:** Visiting Faculty are appointed following a national search. According to the *Faculty Handbook Supplement, Appendix D (1.7.6.2)*, Visiting Faculty appointments "shall not exceed three years and shall not be renewed."

D. ASSISTANT PROFESSOR

1. **Qualifications:** An Assistant Professor of English must hold the Ph.D. degree in English or appropriate discipline from an accredited institution of higher learning. To be considered for appointment, an individual must also furnish strongly supportive recommendations from former professional employers and/or

colleagues and/or former teachers. The individual's professional credentials must also evidence appropriate activity or the capacity therefore in the areas of scholarly research and publication and/or creative achievement, in addition to capacities and/or achievement in the areas of teaching and/or extension work.

2. **Duties:** An Assistant Professor's duties include effective teaching of undergraduate and graduate courses, including all duties and responsibilities associated with such teaching, and may also include supervision of graduate and undergraduate student teaching assistants and other faculty members. The Assistant Professor's duties may also include service on graduate student committees, the appropriate supervision of graduate student research, and graduate student advising. The Assistant Professor can also expect to serve on ad hoc and standing Department and College committees. The Assistant Professor shall undertake and continue serious professional activities as evidenced by publication of research materials in refereed journals and books. The Assistant Professor may develop substantial course and curriculum materials, exhibit artistic achievement through invited readings or presentations, or participate in extension programs. The Assistant Professor should also undertake activities beyond the scope of the Department such as participation in the publication of professional journals, in professional organizations, or in professional meetings.
3. **Appointment and Review:** Assistant Professors of English are appointed, reviewed, and evaluated with respect to reappointment, promotion, and tenure in accordance with University and College guidelines and Department procedures, as variously published by the appropriate administrative entities in the *Faculty Handbook*, *University Policy and Procedures 2-0902*, *College of Arts and Science Policies and Procedures* manual, and the English Department Personnel Guidelines.

E. ASSOCIATE PROFESSOR

1. **Qualifications:** In addition to the qualifications required for the position of Assistant Professor, the Associate Professor of English must, to be considered for appointment, furnish strongly supportive recommendations from former professional employers and colleagues, and should be able to solicit recommendations from other members of the profession. The individual's professional credentials must evidence significant and substantial accomplishment in the areas of scholarly research and publication and/or creative achievement, in addition to a record of superior achievement in the areas of teaching and/or extension work. The individual's credentials should, generally, reflect the development of professional maturity as manifest in the establishment of a professional reputation beyond merely local reference.
2. **Duties:** In addition to the duties required of an Assistant Professor, an Associate Professor of English is expected to exhibit a professional life of tangible breadth and depth, evidenced in consistent research and/or creative activity, active

participation in professional organizations, and recognized teaching excellence and/or professional consulting activity. An Associate Professor of English can expect to serve as supervisor of graduate theses and dissertations, and to serve on various standing and ad hoc committees in the College and University. The Associate Professor is also responsible for providing leadership in developing the instructional program in an area of expertise and for attracting high-quality students to that teaching or research program at the undergraduate and graduate levels. The Associate Professor must also demonstrate leadership in support of Department programs and undertakings. He is expected to establish and maintain a reputation for excellence in standards and achievement of at least regional scope.

3. **Appointment and Review:** Associate Professors of English are appointed, reviewed, and evaluated with respect to reappointment, promotion, and tenure in accordance with University and College guidelines and Department procedures, as variously published by the appropriate administrative entities in the *Faculty Handbook*, *University Policy and Procedures 2-0902*, *College of Arts and Science Policies and Procedures* manual, and the English Department Personnel Guidelines.

F. PROFESSOR

1. **Qualifications:** In addition to meeting the requirements for an Associate Professor, the Professor of English will have established a highly meritorious record in the following areas of responsibility: instruction, research, extension, and professionalism—as judged by Departmental administrators, peers (both on campus and off campus), and other appropriate off-campus professionals. The Professor shall also be recognized nationally as a highly competent professional. The individual's credentials should reflect an established professional maturity.
2. **Duties:** The Professor of English in addition to the duties of the Associate Professor of English, is responsible for providing leadership in developing the institutional program(s) in the area of the person's expertise, and for attracting high-quality students to teaching or research programs or both. A Professor of English must exhibit leadership in all appropriate professional roles locally, regionally, and nationally. The Professor of English will discharge successfully the tasks assigned on a Departmental, College, and University level and, as appropriate, develop and coordinate Departmental extension programs. The Professor of English will contribute significantly to local, regional, and national organizations, and be competent to engage in important consulting work. The Professor of English must exhibit the highest caliber of instructional and scholarly skills, and be both responsible for and capable of providing leadership for the overall development of the Department, the College, and the University.
3. **Appointment and Review:** The Professor of English holds a tenured appointment. The Professor of English will receive written appraisal of personal effectiveness

according to the *Guidelines* of the Department of English, the procedures described in the *Faculty Handbook*, and the *Personnel Procedures* documents of the University and College of Arts and Sciences.

4. Regents Professor: To be awarded this permanent position, departmental nominees should be recognized by nationally/internationally respected colleagues for influential contributions and accomplishments within their discipline. Evidence to support the nomination should include original publications, letters of support from national/international scholars in their field of expertise, participation in international and national symposia, a successful record of obtaining extramural support, and recognition of special awards for scholarly and professional contributions to one's area of expertise. Teaching excellence must be documented by unit administrators, peers, and students or indicated by previous teaching awards granted by student or faculty groups. Outstanding performance in extension or outreach activities will also be considered.