

Promotion and Tenure Procedures, Germanic Languages & Literatures

Purpose: To articulate the standards and procedures for promotion and/or tenure for the Department of Germanic Languages & Literatures

Applies to: Faculty within the Department of Germanic Languages & Literatures

General Provisions

Scope and Purpose. The award of tenure and/or promotion in rank are among the most important and far-reaching decisions made by the Department of Germanic Languages and Literatures because an excellent faculty is an essential component of any outstanding institution of higher learning. Promotion and tenure decisions also have a profound effect on the lives and careers of faculty. Recommendations concerning promotion and tenure must be made carefully, based upon a thorough examination of the candidate's record and the impartial application of these criteria and procedures, established in compliance with the [Faculty Senate Rules and Regulations \(FSRR\) Article VI](#).

It is the purpose of this document to promote the rigorous and fair evaluation of faculty performance during the promotion and tenure process by (a) establishing criteria that express the Department of Germanic Languages and Literature's expectations for meeting University standards in terms of disciplinary practices; (b) providing procedures for the initial evaluation of teaching, scholarship, and service; (c) preserving and enhancing the participatory rights of candidates, including the basic right to be informed about critical stages of the process and to have an opportunity to respond to negative evaluations; and (d) clarifying the responsibilities, roles, and relationships of the participants in the promotion and tenure review process.

Each level of review, including the initial review, the intermediate review, and the University level review, conducts an independent evaluation of a candidate's record of performance and makes independent recommendations to the next review level. Later stages of review neither affirm nor reverse earlier recommendations, which remain part of the record for consideration by the Chancellor. It is the responsibility of each person involved in the review process to exercise his/her own judgment to evaluate a faculty member's teaching, scholarship, and service based upon the entirety of the data and information in the record. No single source of information, such as peer review letters, shall be considered a conclusive indicator of quality.

Academic Freedom. All faculty members, regardless of rank, are entitled to academic freedom in relation to teaching and scholarship, and the right as citizens to speak on matters of public concern. Likewise, all faculty members, regardless of rank, bear the obligation to exercise their academic freedom responsibly and in accordance with the accepted standards of their academic disciplines.

Confidentiality and Conflicts of Interest. Consideration and evaluation of a faculty member's record is a confidential personnel matter. Only those persons eligible to vote on promotion and tenure may participate in or observe deliberations or have access to the personnel file (except that clerical staff may assist in the preparation of documents under conditions that assure confidentiality).

No person shall participate in any aspect of the promotion and tenure process concerning a candidate when participation would create a clear conflict of interest or compromise the impartiality of an evaluation or recommendation.

If a candidate believes that there is a conflict of interest, the candidate may petition to have that person recuse him/herself. If a committee member does not recuse him/herself, a decision about whether that person has a conflict of interest shall be made by a majority of the other committee members.

Promotion and Tenure Standards

General Principles. The University strives for a consistent standard of quality against which the performance of all faculty members is measured. Nonetheless, the nature of faculty activities varies across the University and a faculty member's record must be evaluated in light of his/her particular responsibilities and the expectations of the discipline. These criteria state the Department of Germanic Languages and Literature's expectations of performance in the areas of teaching, scholarship, and service necessary to satisfy the University standards for promotion for the award of tenure and/or promotion to associate professor and for promotion to full professor, or equivalent ranks.

Teaching and scholarship should normally be given primary consideration, but the particular weight to be accorded to each component of a faculty member's activities depends upon the responsibilities of the faculty member. The College has traditionally recognized the 40-40-20 formula for weighting research, teaching, and service, except when weight is differentiated for unclassified academic staff members pursuant to their job description.

Teaching. Teaching is a primary function of the University, which strives to provide an outstanding education for its students. The evaluation of teaching includes consideration of syllabi, course materials, and other information related to a faculty member's courses; peer and student evaluations; a candidate's own statement of teaching philosophy and goals; public representations of teaching; and other accepted methods of evaluation, which may include external evaluations.

High quality teaching is serious intellectual work grounded in a deep knowledge and understanding of the field and includes the ability to convey that understanding in clear and engaging ways.

The conduct of classes is the central feature of teaching responsibilities at KU, but teaching also includes supervising student research and clinical activities, mentoring and advising students, and other teaching-related activities outside of the classroom. Teaching responsibilities in our department may also include chairing of dissertations and theses, coordination of the proficiency sequence in German as well as the training and mentoring of Graduate Teaching Assistants in our program. Participation in graduate degree examination committees as well as examination committees for undergraduate departmental honors is also considered part of a faculty member's teaching responsibility.

Under the University standards for the award of tenure and/or promotion to associate professor, the record must demonstrate effective teaching, as reflected in such factors as command of the subject matter, the ability to communicate effectively in the classroom, a demonstrated commitment to student learning, and involvement in providing advice and support for students outside the classroom.

In the Department of Germanic Languages and Literatures, the following teaching expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor: Applicants for the rank of associate professor must demonstrate continued engagement with the field in which they teach and continually update and improve their curriculum to keep pace with developments in the field. It is expected that the applicant will have demonstrated the integration of his/her research into at least part of the curriculum. At this rank, course preparation should indicate thorough preparation of subject matter for meaningful student learning, including clear statements of expected outcomes and instruments by which to measure the outcomes. Student outcomes as well as student evaluations of teaching should indicate both that faculty have endeavored to foster effective learning and that their teaching has a regular pattern of effectiveness. Applicants are expected to engage effectively in the advising and mentorship of undergraduate

and graduate students, serving on their examination committees, and assisting them with professional development.

Under the University standards for promotion to the rank of professor, the record must demonstrate continued effectiveness and growth as a teacher, as reflected in such factors as mastery of the subject matter, strong classroom teaching skills, an ongoing commitment to student learning, and active involvement in providing advice and support for students outside the classroom.

In the Department of Germanic Languages and Literatures, the following teaching expectations to meet University standards apply for the promotion to the rank of professor: Applicants for the rank of professor must demonstrate continued engagement with the field in which they teach and continually update and improve their curriculum to keep pace with developments in the field. It is expected that the applicant will have demonstrated the integration of his/her research into at least part of the curriculum. In addition, an applicant is expected to demonstrate leadership in shaping the department's curriculum, aligning it with the unit's teaching mission and aspirations for national standing, indicating also a trajectory that suggests sustained leadership in curriculum development after promotion. At this rank, course preparation should indicate thorough preparation of subject matter for meaningful student learning, including clear statements of expected outcomes and instruments by which to measure the outcomes. Student outcomes as well as student evaluations of teaching should indicate both that faculty have endeavored to foster effective learning and that their teaching has a regular pattern of effectiveness. Applicants are expected to engage effectively in the advising and mentorship of undergraduate and graduate students, serving on their examination committees, and assisting them with professional development. At this rank, faculty members should also demonstrate effective mentorship of junior colleagues, preparing them for their roles as advisors and mentors to students.

Scholarship. The concept of "scholarship" encompasses not only traditional academic research and publication, but also the creation of artistic works or performances and any other products or activities accepted by the academic discipline as reflecting scholarly effort and achievement for purposes of promotion and tenure. While the nature of scholarship varies among disciplines, the University adheres to a consistently high standard of quality in its scholarly activities to which all faculty members, regardless of discipline, are held. In the Department of Germanic Languages and Literatures, a faculty member is expected to engage in a program of research appropriate to her/his sub-discipline within German Studies. S/he is expected to develop a significant program of research, to disseminate scholarly findings (in print, in presentations and by electronic media), and to seek external funding in support of this research. The results of a faculty member's research may be transmitted to the scholarly community and to the public at large by the publication of scholarly monographs, essays in refereed journals and edited volumes, book chapters, web-based or other digital materials, invited essays, scholarly editions or translations, collections of essays, pedagogical and curricular materials, editing of a scholarly journal/yearbook, scholarly presentations, successful grant proposals for research funding and scholarly book reviews..

Under the University standards for the award of tenure and/or promotion to the rank of associate professor, the record must demonstrate a successfully developing scholarly career, as reflected in such factors as the quality and quantity of publications or creative activities, external reviews of the candidate's work by respected scholars or practitioners in the field, the candidate's regional, national, or international reputation, and other evidence of an active and productive scholarly agenda.

In the Department of Germanic Languages and Literatures, the following scholarship expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor: A substantive and sustained program of research that demonstrates independent scholarship that has moved beyond the work produced under mentorship during the candidate's graduate training and advances knowledge in the field. Typically this would be manifested by at least one scholarly monograph or a series of articles in refereed journals, but may also include book chapters and, in the case of specialists in language pedagogy, development of innovative teaching materials in appropriate formats. Indicators of the quality of their work

include successful placement of work in leading journals in their field, successful elicitation of external grant funding, reviews of their work in leading journals, as well as prizes for their research achievements.

Under the University standards for promotion to the rank of professor, the record must demonstrate an established scholarly career, as reflected in such factors as a substantial and ongoing pattern of publication or creative activity, external reviews of the candidate's work by eminent scholars or practitioners in the field, the candidate's national or international reputation, and other evidence of an active and productive scholarly career.

In the Department of Germanic Languages and Literatures, the following scholarship expectations to meet University standards apply for the award of tenure and/or promotion to the rank of professor: A substantive and sustained program of research that demonstrates intellectual development beyond the program developed at the rank of associate, advances knowledge in the field, and demonstrates research leadership at the unit, University, and national levels. Typically output would include at least one scholarly monograph or a series of articles in refereed journals past the output of associate professor, but may also include book chapters and, in the case of specialists in language pedagogy, development of innovative teaching materials in appropriate formats. Indicators of the quality of their work include successful placement of work in leading journals in their field, successful elicitation of external grant funding, reviews of their work in leading journals, as well as prizes for their research achievements.

Service. Service is an important responsibility of all faculty members that contributes to the University's performance of its larger mission. Although the nature of service activities will depend on a candidate's particular interests and abilities, service contributions are an essential part of being a good citizen of the University. The Department of Germanic Languages and Literatures accepts and values scholarly service to the discipline or profession, service within the University, and public service at the local, state, national, or international level. Direction of study abroad programs and sponsorship of student extracurricular activities are also vital to the success of a foreign language program and the realization of its mission.

Under the University standards for the award of tenure and/or promotion to associate professor, the record must demonstrate a pattern of service to the University at one or more levels, to the discipline or profession, and/or to the local, state, national, or international communities.

In the Department of Germanic Languages and Literatures, the following service expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor: The candidate is expected to have moved into a pattern of substantive contributions to departmental, College, and University service by the time s/he applies for tenure and/or promotion, though it is recognized that the first few years a junior faculty member with no previous experience in an academic job is usually "protected" by the department chair from heavy service in order to help the faculty member advance his/her research program. The candidate should also demonstrate good citizenship to the profession at the local, state, national, and/or international levels (e.g., committee work in professional societies, conference organization, journal refereeing).

Under the University standards for promotion to the rank of professor, the record must demonstrate an ongoing pattern of service reflecting substantial contributions to the University at one or more levels, to the discipline or profession, and/or to the local, state, national, or international communities.

In the Department of Germanic Languages and Literatures, the following service expectations to meet University standards apply for the promotion to the rank of professor: The candidate is expected to establish and sustain a pattern of substantive contributions to departmental, College, and University service and demonstrated leadership. The candidate should also demonstrate good citizenship and leadership in the profession at the local, state, national, and/or international levels (e.g., committee work and officer in professional societies, conference organization, journal refereeing, program development).

Ratings for Performance. Using the criteria described above, the candidate's performance in the areas of teaching, scholarship, and service will be rated using the terms "excellent," "very good," "good," "marginal," or "poor," defined as follows:

- (a) "Excellent" means that the candidate substantially exceeds expectations for tenure and/or promotion to this rank.
- (b) "Very Good" means the candidate exceeds expectations for tenure and/or promotion to this rank.
- (c) "Good" means the candidate meets expectations for tenure and/or promotion to this rank.
- (d) "Marginal" means the candidate falls below expectations for tenure and/or promotion to this rank.
- (e) "Poor" means the candidate falls significantly below expectations for tenure and/or promotion to this rank.

Absent exceptional circumstances, no candidate may be recommended for promotion or tenure without meeting standards in all applicable areas of performance.

Promotion and Tenure Procedures

The Department of Germanic Languages and Literatures conducts the initial review of the candidate pursuant to the procedures and requirements of [section 5 of Article VI of the FSRR](#) in connection with the candidate's responsibility in the Department of Germanic Languages and Literatures.

Promotion and Tenure Committee. The Department of Germanic Languages and Literatures review committee shall evaluate the candidate's teaching, research, and service. In the Department of Germanic Languages and Literatures the initial review committee consists of all tenured faculty holding a rank higher than the candidate. The promotion and tenure committee is chaired by the department chair unless s/he designates another faculty member to fulfill this role.

No students or untenured faculty members, except unclassified academic staff with the rank equivalent to or higher than associate professor, shall serve on the department promotion and tenure committee or vote on any recommendation concerning promotion and/or tenure

Initiation of Review. Prior to the beginning of the spring semester, the Provost shall notify all faculty whose mandatory review year will be the following academic year, with copies provided to unit administrators and the dean. Upon receipt of this notice or if a faculty member requests it prior to the mandatory review year, the unit shall initiate procedures for evaluating the candidate for the award of tenure or tenure and promotion in rank.

At or before the beginning of the spring semester, the unit shall consider the qualifications of all faculty members below the rank of full professor, with a view toward possible promotion in rank during the following academic year. After considering a faculty member's qualifications, if the unit determines that those qualifications may warrant promotion in rank, or if the faculty member requests it, the unit shall initiate procedures for reviewing the faculty member for promotion to full professor.

Preparation of the Promotion and/or Tenure File. *NOTE:* Candidates who hold joint appointments prepare only one set of promotion and tenure materials for review by both units in which they hold an appointment. The initial review units (i.e., departments, centers, etc.) shall consult with each other on their evaluations and the evaluation process, but each initial review unit must provide a separate evaluation of the candidate's performance in the unit. Please refer to the [College's Promotion and Tenure Statement](#) for detailed instructions. It is the responsibility of the candidate to complete the appropriate portions of the form and provide necessary documents and information in accordance with the Provost's guidelines, with assistance from the Department of Germanic Languages and Literatures.

The promotion and tenure committee shall receive the form and accompanying materials from the candidate and finish compiling the record of the candidate's teaching, scholarship, and service in accordance with the Provost's guidelines. The promotion and tenure committee, through the office of the committee chair, may elect to seek input from appropriate additional faculty members outside of the department, especially when the candidate in question works on interdisciplinary projects. In the case of assistant professors applying for promotion to associate, input is sought from the faculty mentor outside the department who was registered with the Provost's Office at the time of appointment.

The Department of Germanic Languages and Literatures review committee shall provide for the solicitation of outside reviewers to assist in the evaluation of a faculty member's scholarship and in accordance with College procedures. Emphasis shall be placed on selecting independent reviewers in the same or related discipline who hold academic rank or a professional position equal to or greater than the rank for which the candidate is being considered. The committee shall give the candidate the opportunity to suggest individuals to be included or excluded from the list of reviewers. The committee, however, is responsible for using its judgment in the final selection of reviewers. For College specific requirements and guidelines, please refer to "[Section B. Process for Obtaining Evaluation Letters from External Reviewers](#)" within the College's posted policy for promotion and tenure.

When soliciting external reviews of a candidate's scholarship, the promotion and tenure committee shall inform prospective reviewers of the extent to which the candidate will have access to the review. The College's confidentiality policy regarding soliciting external reviewers for the promotion and tenure review process is as follows:

"As a part of the promotion and/or tenure review process, we are soliciting assessments of Professor _____'s research contributions from academic colleagues and distinguished professionals. These letters will become part of the candidate's promotion and tenure dossier and are treated as confidential by the University to the extent we are permitted to do so by law."

Recommendations. Upon completion of the record, the committee conducting the initial review shall evaluate the candidate's record of teaching, scholarship, and service in light of the applicable standards and criteria and make recommendations in accordance with the voting procedures detailed below.

In the Department of Germanic Languages and Literatures, voting procedures are as follows: The promotion and tenure committee, including the chair, vote on the rating of each section of the review as well as the overall recommendation to promote and/or award tenure. A majority is required. The committee chair may elect to hold a secret ballot on voting either at his/her discretion or if any member of the committee calls for a secret ballot. The vote passes if a simple majority votes in favor, i.e., half of the votes + 1.

The committee shall prepare the evaluation and summary evaluation sections of the promotion and/or tenure forms. The forms and recommendations shall be forwarded to the department chair, who shall indicate separately, in writing, whether s/he concurs or disagrees with the recommendations of the review committee. The Department of Germanic Languages and Literatures chair shall communicate the recommendations of the initial review, and his or her concurrence or disagreement with the recommendation, to the candidate and provide the candidate with a copy of the summary evaluation section of the promotion and tenure form. Negative recommendations shall be communicated in writing and, if the review will not be forwarded automatically, the chair shall inform the candidate that he or she may request that the record be forwarded for further review.

Favorable recommendations, together with the record of the initial review, shall be forwarded to the College Committee on Appointments Promotion, and Tenure conducting the intermediate review. Negative recommendations resulting from an initial review shall go forward for intermediate review only if it is the candidate's mandatory review year or if the candidate requests it.

Intermediate Review.

The candidate may submit a written response to a negative recommendation by the Department of Germanic Languages and Literatures, or to a final rating of teaching, research, or service below the level of “good” included in the evaluation section of the recommendation. The written response is sent separately by the candidate to CCAPT.

A request for information by CCAPT and/or UCPT shall be sent to the Department of Germanic Languages and Literatures chair who shall immediately provide a copy to the candidate and inform the promotion and tenure committee. The chair and/or committee shall prepare the Department of Germanic Languages and Literatures’ response in accordance with the initial review procedures.

The candidate shall be afforded an opportunity to participate in the preparation of the Department of Germanic Languages and Literatures’ response and/or to submit his/her own documentation or comment to the CCAPT and/or UCPT as applicable.

Approved by:

Department of Germanic Languages & Literatures / Faculty Senate Committee on Standards and Procedures for Promotion and Tenure

Approved on:

Wednesday, September 5, 2012

Effective on:

Wednesday, September 5, 2012

Review Cycle:

Annual (As Needed)

Related Policies:

[Faculty Senate Rules and Regulations Article VI: Promotion and Tenure](#)

Related Procedures:

[Statement On Promotion and Tenure for the College of Liberal Arts & Sciences](#)

Related Forms:

[Guidelines and Documents for Promotion and Tenure](#)

Review, Approval & Change History:

06/12/2017: Dean of CLAS Approved adding the following language to Unit PT statements:

For College specific requirements and guidelines, please refer to “[Section B. Process for Obtaining Evaluation Letters from External Reviewers](#)” within the College’s posted policy for promotion and tenure.

03/01/2017: SPPT Review and approval of CLAS P&T policy changes.

02/14/2017: CAC review and approval on revision to Section B. on the *Process for Obtaining Evaluation Letters from External Reviewers*. to ensure procedural clarity.

06/12/2017: Updated FSRR 6.5.1

04/13/2017: Amendments to the Faculty Senate Rules and Regulations (FSRR) 6.5.1 were approved by the Faculty Senate:

Prior to the beginning of the spring semester, the Provost shall notify all faculty whose mandatory review year will be the following academic year, with copies provided to unit administrators and the dean. Upon

receipt of this notice or if a faculty member requests it prior to the mandatory review year, the unit shall initiate procedures for evaluating the candidate for the award of tenure or tenure and promotion in rank.

At or before the beginning of the spring semester, the unit shall consider the qualifications of all faculty members below the rank of full professor, with a view toward possible promotion in rank during the following academic year. After considering a faculty member's qualifications, if the unit determines that those qualifications may warrant promotion in rank, or if the faculty member requests it, the unit shall initiate procedures for reviewing the faculty member for promotion to full professor. ~~After seven years in the rank of associate professor, a faculty member who believes he or she has the qualifications for promotion, despite the failure of his or her unit to initiate the review process for promotion to full professor, may initiate the promotion review process himself or herself. In such cases the unit will treat the candidate in the same way that it treats other candidates for promotion to the rank of full professor.~~

09/02/2015: Made updates to boiler plate text:

- 1) Under General Provisions, paragraph three, "Chancellor" has been changed to "next review level;"
- 2) Under Initiation of Review, the following was added, "*NOTE*: Candidates who hold joint appointments prepare only one set of promotion and tenure materials for review by both units in which they hold an appointment. The initial review units (i.e., departments, centers, etc.) shall consult with each other on their evaluations and the evaluation process, but each initial review unit must provide a separate evaluation of the candidate's performance in the unit. Please refer to the [College's Promotion and Tenure Statement](#) for detailed instructions."
- 3) The following was added under to paragraph concerning outside reviewers, "The committee shall give the candidate the opportunity to suggest individuals to be included or excluded from the list of reviewers. The committee, however, is responsible for using its judgment in the final selection of reviewers.

09/05/2012: Approved by the Department of Germanic Languages & Literatures

05/21/2012: Approved by The Faculty Senate Committee on Standards and Procedures for Promotion and Tenure