Department of Integrated Systems Engineering The Ohio State University

Appointments, Promotions and Tenure Criteria and Procedures

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APPOINTMENTS, PROMOTION AND TENURE CRITERIA AND PROCEDURES FOR THE DEPARTMENT OF INTEGTRATED SYSTEMS ENGINEERING

1. PREAMBLE

This document is a supplement to Chapter 6 and 7 of the Rules of the University Faculty (Additional Rules concerning Tenure-track Faculty Appointments, Reappointments, Promotion and Tenure) http://trustees.osu.edu/rules/university-rules.html; the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews http://oaa.osu.edu/handbook.html; and other policies and procedures of the college and University to which the department and its faculty are subject.

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

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

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

2. DEPARTMENT MISSION

Our mission is to create and transfer knowledge about and for the design and application of integrated systems and processes. Our vision is to be recognized internationally for offering a student-focused research-prominent educational environment and for providing innovation in the design, operation, and improvement of systems and processes for acquiring, producing, and distributing products and services.

3. DEFINITIONS

3.1 Committee of the Eligible Faculty

3.1.1 Tenure-track Faculty

The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty whose tenure resides in the department.

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

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

3.1.2 Clinical Faculty

The eligible faculty for appointment reviews of clinical faculty consists of all tenuretrack faculty whose tenure resides in the department and all clinical faculty whose primary appointment is in the department.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion of clinical faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department and all nonprobationary clinical faculty of higher rank than the candidate whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

3.1.3 Research Faculty

The eligible faculty for appointment reviews of research faculty consists of all tenure-track faculty whose tenure resides in the department, all clinical faculty whose primary appointment is in the department, and all research faculty whose primary appointment is in the department.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department, all nonprobationary clinical faculty of higher rank than the candidate whose primary appointment is in the department, and all nonprobationary research faculty of higher rank than the candidate whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

3.1.4 Conflict of Interest

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

3.1.5 Minimum Composition

In the event that the department does not have at least three eligible faculty members who can undertake a review, the department chair, after consulting with the dean, will appoint a faculty member from another department within the college.

3.2 Quorum

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

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

Recommendation from the Committee of the Eligible Faculty

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

Absentee ballots and proxy votes are not permitted.

3.3 Recommendation from the Committee of Eligible Faculty

3.3.1 Recommendations for Appointment

A positive recommendation from the eligible faculty for appointment is secured when at least 60% of the votes cast are positive.

3.3.2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when at least 60% of the votes cast are positive.

4. APPOINTMENTS

4.1 CRITERIA

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

4.1.1 Tenure-track Faculty

To be appointed to the tenure-track faculty, a candidate must have:

- demonstrated through clear and convincing evidence that criteria for the particular appointment have been met or exceeded in the following areas: teaching, scholarship, and service;
- strong potential to enhance the quality and reputation of the department; and
- support for the appointment, demonstrated by a strong consensus within the department as evidenced by an appropriate faculty review.

Assistant Professor. To be appointed as a tenure-track assistant professor, the candidate must meet or exceed the following minimum criteria:

- The candidate must possess an earned doctorate in a field of study relevant to industrial and/or systems engineering, or possess extensive relevant experience. On very rare occasions, an appointment may be made if the candidate does not possess an earned doctorate, but possesses extensive relevant experience.
- The candidate's reference letters must strongly suggest that the candidate has the potential to be an outstanding teacher, mentor, and scholar.
- The candidate must demonstrate excellence in verbal and written communication.
- The candidate must demonstrate the potential for excellence in scholarship, including the ability to formulate and complete a major body of work and clearly communicate the results and their significance.
- The candidate's stated career goals must be consistent with the department mission.
- The candidate's performance during the interview and the candidate's references should indicate a potential to perform effective service, including a commitment to good citizenship and collegiality with the department.

Associate Professor with Tenure. To be appointed as an associate professor with tenure, a candidate must meet or exceed the following minimum criteria.

- The candidate must clearly exceed all of the criteria established by the department for appointment as a tenure-track assistant professor.
- The candidate must clearly meet or exceed all of the department's criteria for promotion to associate professor with tenure.

It is extremely important that candidates for such appointments have demonstrated ability as teachers, mentors, and scholars. Evidence of scholarly ability is obtained from a

careful and thorough review of the candidate's record and from the evaluations of references. Teaching ability may be demonstrated through previous experience as a faculty member with documented evidence of excellent teaching and mentoring performance. If the candidate has not previously held a regular teaching appointment, performance as an adjunct faculty member or related educational and training activities in industry or government will be considered. In the absence of compelling evidence of teaching and mentoring ability, an appointment without tenure should be considered.

Professor with Tenure. To be appointed as professor with tenure, a candidate must meet or exceed the following minimum criteria.

- The candidate must clearly exceed all criteria set forth for appointment as an associate professor with tenure.
- The candidate must clearly meet or exceed the department's criteria for promotion to professor.

Associate Professor or Professor without Tenure. An appointment as associate professor or professor normally entails tenure. A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, in accordance with Faculty Rule 3335-6-03.

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

Instructor. An appointment at the rank of Instructor is made only when the offered appointment is that of Assistant Professor, but requirements for the doctorate have not been completed by the candidate at the time of appointment. The department will make every effort to avoid such appointments. Instructor appointments are limited to three years, in accordance with Faculty Rule 3335-6-03. When an instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department's eligible faculty, the department chair, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition all probationary faculty members have the option to be considered for early promotion.

4.1.2 Clinical Faculty

Appointments of clinical faculty entail a three- to five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to clinical faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. Reappointment is based on the faculty member's performance and the continued needs of the department. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current

contract period. See Faculty Rule 3335-7 for more information http://trustees.osu.edu/rules/university-rules.html

In accordance with the College of Engineering Appointments, Promotion, and Tenure Document, a member of the clinical faculty will be referred to as a "Professor of Practice in Integrated Systems Engineering" with qualifiers "Assistant" or "Associate" as appropriate.

Assistant Professor of Practice in Integrated Systems Engineering. To be appointed as an assistant professor of practice, a candidate must meet or exceed the following minimum requirements.

- The candidate should have a record of accomplishments clearly demonstrating their capability in the practice of the discipline.
- The candidate's reference letters must strongly suggest that the candidate has the potential for to be an outstanding teacher and mentor.
- The candidate must demonstrate excellence in verbal and written communication;
- The candidate's performance during the interview and the candidate's references should indicate a potential to perform effective service, including a commitment to good citizenship and collegiality with the department.

Normally, the candidate will have an earned doctorate in a field relevant to industrial and/or systems engineering. Professional publications and actual teaching experience is helpful, but not required.

Associate Professor of Practice in Integrated Systems Engineering. To be appointed as an associate professor of practice, a candidate must meet or exceed the following minimum criteria.

- The candidate must clearly exceed all of the criteria established by the department for appointment as assistant professor of practice.
- The candidate must clearly meet or exceed all of the department's criteria for promotion to associate professor of practice.

Professor of Practice in Integrated Systems Engineering. To be appointed as professor of practice, a candidate must meet or exceed the following minimum criteria.

- The candidate must clearly exceed all criteria set forth for appointment as an associate professor of practice.
- The candidate must clearly meet or exceed the department's criteria for promotion to professor of practice.

4.1.3 Research Faculty

Appointments of research faculty entail one- to five-year contracts. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. See Faculty Rule 3335-7 for more information http://trustees.osu.edu/rules/university-rules.html

Research Assistant Professor. To be appointed as a research assistant professor, the candidate must meet or exceed the following minimum criteria.

- The candidate must possess an earned doctorate in a field of study relevant to integrated systems engineering, or possesses extensive relevant experience.
- The candidate must have a record of high quality publications.
- The candidate's record must strongly indicate the ability to sustain an independent, externally funded research program.
- The candidate's performance during the interview and the candidate's references should indicate a potential to perform effective service, including a commitment to good citizenship and collegiality with the department.

Research Associate Professor. To be appointed as a research associate professor, the candidate must meet or exceed the following minimum criteria.

- The candidate must clearly exceed all of the criteria established by the department for appointment as research assistant professor.
- The candidate must clearly meet or exceed all of the department's criteria for promotion to research associate professor.

Research Professor. To be appointed as research full professor, a candidate must meet or exceed the following minimum criteria.

- The candidate must clearly exceed all criteria set forth for appointment as a research associate professor.
- The candidate must clearly meet or exceed the department's criteria for promotion to research full professor.

4.1.4 Associated Faculty

Associated faculty participates in the programs of the department but are not faculty members. Associated faculty appointments are generally made on an annual basis but can be for no more than three years, consistent with Faculty Rule 3335-5-19.

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.

Adjunct appointments are compensated. Adjunct faculty appointments are given to individuals who give considerable academic service to the department, such as teaching a course, for which a faculty title is appropriate. Adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

Lecturer. Appointment as Lecturer requires that the individual have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught or substantial relevant work experience, along with evidence of the ability to provide high quality instruction. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the criteria for appointment at that rank.

Senior Lecturer. Appointment as Senior Lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with

evidence of ability to provide high quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality performance. Senior Lecturers are not eligible for tenure or promotion.

Assistant Professor, Associate Professor, Professor with FTE below 50%. Criteria for appointment and reappointment in these ranks are identical to the criteria for appointment of faculty at the same rank.

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. Visiting faculty appointments may be either compensated or not compensated. Visiting faculty on leave from a academic appointment at another institution are appointed at the rank held in that position. In other cases, the appointment will be at a rank commensurate with the person's qualifications for a faculty appointment. Visiting faculty are not eligible for tenure or promotion. They may not be reappointed for more than three consecutive years at 100% FTE.

4.1.5 Courtesy Appointments for Faculty

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

4.2 PROCEDURES

As indicated in the following subsections, faculty votes are required on various matters related to appointments.

4.2.1 Tenure-track Faculty

When a tenure-track faculty position is approved by the Dean of the College of Engineering, a faculty search is initiated. A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must be consistent with the University policies set forth in the most recent updated of *A Guide to Effective Searches*, http://hr.osu.edu/hrpubs/guidesearches.pdf. The chair of the department will appoint a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search as well as other fields within the department. The search committee will include a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.

The search committee:

Develops a search announcement for internal posting in the University Personnel
Postings (formerly known as the "green sheet") through the Office of Human Resources
Employment Services www.hr.osu.edu/ and external advertising, subject to the
department chair's approval.

- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that at least one print (as opposed to on-line) advertisement appears in a location likely to be read by qualified potential applicants.
- Screens applications and letters of recommendation and recommends applicants (usually three to five) who warrant an interview. On-campus interviews are arranged by the search committee chair, assisted by the department office. If no candidates are identified who appear worthy of an interview, the department chair in consultation with the faculty determines the appropriate next steps, e.g., to solicit new applications, to review other applications already received, or to cancel the search for the time being.

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the department chair; and the dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their research. The faculty search committee will provide a survey form or other mechanism to systematically obtain evaluative comments from all participants in the interview process. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the department's tenure-track faculty meet to discuss perceptions and preferences, and to vote on each candidate. The chair of the faculty search committee will make a written report to the department chair summarizing the results of the search process and including the results of the ballot.

If the offer involves an appointment at the rank of either associate or full professor, the department eligible faculty will review the candidate's application and supporting documentation and will make a recommendation to the department chair about appointment at that rank and whether or not the appointment should include tenure. The outcome of a vote of the eligible voting faculty must be included in a written report to the department chair.. If the candidate does not get the required vote for a positive recommendation for a rank above assistant professor, then candidate will be offered a rank as an assistant professor. The same applies for tenure:

In the event that more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair. A draft letter of offer to a tenure-track faculty candidate, accompanied by the candidate's curriculum vitae and appropriate letters attesting to the candidate's qualifications, must be submitted to Engineering Administration for review and approval by the Dean.

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

4.2.2 Clinical Faculty

Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview should be on clinical/professional practice rather than research.

Highly qualified clinical candidates may occasionally be considered for appointment without a national search, only when there is a reasonable likelihood that a national search would not result in finding more highly qualified and/or more diverse candidates. The faculty and dean of the college must first approve the decision to interview a candidate without a national search. From that point on, the on-campus interview and decision making processes are identical to those following a national search. The department chair determines the details of the offer, including the length of the initial contract. A draft letter of offer to a clinical faculty candidate, accompanied by the candidate's curriculum vitae and appropriate letters attesting to the candidate's qualifications, must be submitted to Engineering Administration for review and approval by the Dean.

4.2.3 Research Faculty

Searches for research faculty generally proceed identically as for tenure-track faculty.

Highly qualified research candidates may occasionally be considered for appointment without a national search, only when there is a reasonable likelihood that a national search would not result in finding more highly qualified and/or more diverse candidates. The faculty and dean of the college must first approve the decision to interview a candidate without a national search. From that point, the on-campus interview and decision making processes are identical to those following a national search. The department chair determines the details of the offer, including the length of the initial contract. A draft letter of offer to a research faculty candidate, accompanied by the candidate's curriculum vitae and appropriate letters attesting to the candidate's qualifications, must be submitted to Engineering Administration for review and approval by the Dean.

Transfer from the Tenure-track

Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the department chair, the college dean, and the executive vice president and provost.

The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual's career goals and activities have changed.

Transfers from a clinical appointment and from a research appointment to the tenure-track are not permitted. Clinical faculty members and research faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

4.2.4 Associated Faculty

Nominations for appointment of associated faculty may be proposed by any faculty member in the department. The proposal is submitted in writing to the department chair. The chair will notify the candidate and the nominating faculty member of the decision in writing. A

nomination may be rejected due to lack of qualifications on the part of the candidate, lack of space to host the proposed activity, insufficient resources, or insufficient contributions to the mission of the department.

Associated appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Adjunct appointments may be renewed only when the academic service for which the appointment was made continues. Visiting appointments are limited to three consecutive years at 100% FTE. Lecturer appointments are usually made on a semester by semester basis. A draft letter of offer to an associated faculty candidate must be submitted to Engineering Administration for review and approval.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for faculty (see APPOINTMENT CRITERIA above), with the exception that the review does not proceed to the college level if the department chair's recommendation is negative, and does not proceed to the University level if the dean's recommendation is negative.

4.2.5 Courtesy Appointments for Faculty

Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State University department. A proposal that describes the uncompensated academic service to this department justifying the appointment will be considered at a faculty meeting. Upon approval of the appointment by the faculty, the department chair will extend an offer of appointment. A copy of the offer letter should be submitted to Engineering Administration. The department chair reviews all courtesy appointments annually to determine whether they continue to be justified, and takes recommendations for non-renewal before the faculty for a vote at a meeting.

Courtesy appointments are warranted only if they are accompanied by substantial involvement in the academic work of the department. Criteria for appointment should include the expectations for such involvement. Courtesy appointments do not require formal annual renewal, but continuation of the appointment should reflect ongoing involvement.

5. ANNUAL REVIEW PROCEDURES

The department follows the requirements for annual reviews as set forth in the Office of Academic Affairs Policies and Procedures Handbook in the Policy on Faculty Annual Reviews section:

http://oaa.osu.edu/assets/files/documents/annualreview.pdf

The purpose of the review is to provide constructive feedback, in writing, to the faculty member about his/her performance and an assessment of the general progress toward his/her goals and contributions to the department mission. The period of review is from March 1 of one year through the end of February the following year. The annual reviews are based on an assessment of contributions in instruction, scholarship, research funding, National/International service and

local service, and on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant. The annual review also provides the basis for merit salary increases.

The documentation required for the annual performance review of every faculty member is described §5, MERIT SALARY INCREASES, below. This material must be submitted to the department chair no later than April 15.

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

5.1 PROBATIONARY TENURE-TRACK FACULTY

Every probationary tenure-track faculty member is reviewed annually by the Committee of the Eligible Faculty. On completion of the review, the committee provides a written report to the department chair with an evaluation of the candidate's strengths and weaknesses.

The department chair conducts an independent assessment of performance; meets with the faculty member to discuss his or her performance and, as appropriate, future plans and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

If the department chair recommends renewal of the appointment, this recommendation is final. The department chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The department chair's letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she chooses).

If the department chair recommends nonrenewal, the formal comments process (per Faculty Rule 3335-6-04) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

5.1.1 Fourth Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are not solicited with the one exception as noted below, and the dean (not the department chair) makes the final decision regarding renewal or non-renewal of the probationary appointment. External evaluations are only solicited when either the department chair or the eligible faculty determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the scholarship without outside input. The CEF chair will prepare a report summarizing the recommendation of the faculty, and the results of a vote of the eligible faculty. The department chair will independently prepare a recommendation. At the conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04)

is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or non-renewal.

5.1.2 Changes to the Length of the Probationary Period

Faculty Rule 3335-6-03 (D) sets forth the conditions under which a probationary tenure-track faculty member may exclude time from the probationary period, and the procedures for obtaining the necessary approvals of requests to exclude time. Faculty Rule 3335-6-03(F) does likewise for extensions of the probationary period. The faculty member remains on duty regardless of time excluded from or extended to the probationary period, and annual reviews are conducted in every probationary year regardless of time excluded or extended. Approved exclusions or extensions do not limit the department's right to recommend non-renewal of appointment during an annual review.

5.2 TENURED FACULTY

Not later than the end of the second month of the spring semester each year, the department chair will distribute a request for annual activity reports. The content of these reports is described in §5 MERIT SALARY INCREASES. Each faculty member is responsible for documenting his/her accomplishments and contributions for the evaluation period (March 1 of the previous year through the end of February of the current year).

The department chair meets individually with each tenured faculty member to review his/her progress and contributions to the department mission. The department chair will prepare a written evaluation which will be provided to the faculty member not later than July 31. A copy of this report is placed in the faculty member's personnel file.

Any response also becomes part of the faculty member's personnel file.

5.3 CLINICAL FACULTY

The annual review process for clinical probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty respectively.

In the penultimate contract year of a clinical faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (http://trustees.osu.edu/rules/university-rules.html must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review follows the review procedures for promotion of clinical faculty. There is no presumption of renewal of contract.

5.4 RESEARCH FACULTY

The annual review process for research probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty, respectively.

In the penultimate contract year of a research faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If it will not

continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 http://trustees.osu.edu/rules/university-rules.html must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review follows the review procedures for promotion of research faculty. There is no presumption of renewal of contract.

5.5 ASSOCIATE FACULTY

The review process for Associate Faculty is identical to that for tenure-track probationary and tenured faculty respectively.

In the penultimate contract year of an Associate Faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (http://trustees.osu.edu/rules/university-rules.html) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review follows the review procedures for promotion of clinical faculty. There is no presumption of renewal of contract.

6. MERIT SALARY INCREASES AND OTHER REWARDS

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

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

6.1 CRITERIA

Merit salary increases are based on the faculty member's overall performance and contributions to the department, college, and university missions. Performance during the review period, sustained performance over the previous five years, and the appropriateness of the faculty member's salary relative to his/her peers are all considered in reaching judgments about salary increases. Accomplishments in the areas of education, scholarship, and service will be considered.

6.2 PROCEDURES

Annual salary increases are at the discretion of the department chair, subject to the approval of the dean, and are based on his/her judgment as to the quality of the contributions made by the faculty member.

6.3 DOCUMENTATION

The period of review is from March 1 of previous one year through the end of February of the following year. The annual performance review of faculty requires that all documentation described below be submitted to the department chair no later than March 31.

- Updated *Curriculum Vitae*, which will be made available to all faculty in an accessible place.
- A summary of accomplishments in instruction, scholarship, and service during the review period. This material should be presented in the format provided by the Chair, and may include supplemental material at the faculty member's discretion.
- An updated copy of the faculty member's goals and career development plan.
- Updated Office of Academic Affairs dossier outline http://oaa.osu.edu/handbook.html

At the discretion of the department chair, additional information may also be required for inclusion in the annual activity report.

7. REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION

In general, individuals will be recommended for promotion in rank, or promotion in rank with tenure, based on demonstrated and documented excellence in contributions supporting the mission of the department. No individual will be promoted or granted tenure without the full expectation that the action will serve to improve the quality of the department's faculty and programs.

7.1 CRITERIA

7.1.1 Tenure-track Faculty

Promotion to Associate Professor with Tenure

(or Tenure at the Rank of Associate Professor)

Faculty Rule 3335-6-02 (C) provides the following general criteria for promotion to Associate Professor with Tenure:

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

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

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping the department's ability to perform and to progress academically.

The accomplishments listed below in the areas of instruction, scholarship, and service are expected of faculty for promotion to Associate Professor with Tenure. In the evaluation of untenured Associate Professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

Criteria Related to Instructional Activities

For promotion to Associate Professor with Tenure, a faculty member is expected to have:

- Provided up to date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge.
- Demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm.
- Demonstrated creativity in the use of various modes of instruction, classroom technology, and other instructional strategies to create an optimal learning environment.
- Engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process.
- Provided appropriate and timely feedback to students throughout the instructional process.
- Treated students with respect and courtesy.
- Improved curriculum through revision or new development of courses and/or academic programs.
- Served as advisor to an appropriate number of graduate students given the department's graduate student/faculty ratio and the faculty member's area(s) of expertise.

Criteria Related to Scholarship

For promotion to Associate Professor with Tenure, a faculty member is expected to have:

- Published a body of work in high quality peer reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:
 - o Quality, impact, quantity.
 - o Unique contribution to a line of inquiry.
 - o Student participation in research.
 - o Rigor of the peer review process and degree of dissemination of publication venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published research more than unpublished research, and original works more than edited works.

- o While collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
- A demonstrated ability to obtain and sustain research program funding. Competitive peer reviewed funding is weighted more favorably than other types, since it serves as an indicator of the quality of research programs, and grants requiring the exercise of intellectual creativity are weighted more heavily than those that largely dictate the work to be done. Research funding is a means to an end; funding that has not led to research productivity is disregarded in the review.
- A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.
- Demonstrated a high degree of ethics in the conduct of research, including but not limited to full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

Service Criteria

For promotion to Associate Professor with Tenure, a faculty member is expected to have:

- Made substantive contributions to the governance of the department in a collegial manner that supports positive contributions by others.
- Demonstrated useful contributions to the profession through National/International service.

Integration

By necessity, the evaluation of faculty performance considers the dimensions of instruction, scholarship, and service. The ideal, however, is an individual who balances and integrates these activities into a synergistic whole. The integration of instruction, scholarship, and service to maximize the impact of the individual activities on the department, college, university, and society is highly valued.

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

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

Promotion to the rank of professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service both locally (Department, College and/or University) and Nationally/Internationally.

For promotion to Professor, a faculty member is expected to be a role model for senior faculty, for students, and for the profession. The specific criteria in instruction, scholarship, and service for promotion to Professor are similar to those for promotion to Associate Professor with Tenure, with the added expectation of sustained accomplishment and increased quality of contributions in terms of scholarly work and research funding, as well as a record of continuing professional growth as evidenced by both local and National/International service, and evidence of an established national or international reputation in the field.

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

7.1.3 Promotion of Clinical Faculty

All clinical faculty must:

- Be engaged in teaching, the development of the department academic programs, and the mentoring of students.
- contribute to the scholarly mission of the department, college, and university.
- contribute to service and demonstrate a commitment to department citizenship.

The instructional activities of clinical faculty must be consistent with the rationale for having clinical faculty in the department; these consist of courses that involve the practice of engineering. The scholarly emphasis of clinical faculty is expected to be different from that of tenure-track and research faculty; clinical faculty would be more engaged in activities dealing with the state of the practice of engineering, while tenure-track and research faculty would be more engaged in activities that advance the state of the art and science of engineering.

For promotion to Associate Professor of Practice, a faculty member must demonstrate

- a record of recognition at a national or international level in the broader engineering education community as well as the industrial engineering education community. It is expected that, to achieve this, the individual will publish scholarly papers in the engineering education literature (and where appropriate the broader education literature), and will provide significant National/International service.
- accomplishment in the area of instruction
- contribution to the scholarly mission of the department
- promise of continued professional growth.

Specific criteria in instruction and service for promotion to Associate Professor of Practice are similar to those for promotion to Associate Professor with Tenure.

For promotion to Professor of Practice, a faculty member must demonstrate:

- impact and stature within the national and international community
- sustained accomplishment in the area of instruction
- continued contribution to the scholarly mission of the department.

Specific criteria in instruction and service for promotion to Professor of Practice are similar to those for promotion to Professor with tenure.

7.1.4 Promotion of Research Faculty

All research faculty must:

- be engaged in the mentoring of students, particularly graduate students
- develop a record of scholarship
- contribute to service and demonstrate a commitment to department citizenship.

Classroom instruction is not required of research faculty. However, research faculty members are expected to be engaged in those instructional activities that develop the research capabilities of graduate students. The preponderance of the effort of research faculty is expected to be devoted to scholarship activities. Professional service activities (National/International service) are expected of research faculty, while administrative service activities would be expected to focus on tasks consistent with the person's scholarly expertise.

For promotion to Research Associate Professor, a faculty member must have a substantial record of high quality focused research consistent with an appointment devoted solely to research. Publications must appear in high quality peer reviewed venues and be judged by external evaluators as having substantial positive impact on the field. A record of continuous reviewed funding is required along with evidence of a growing national reputation.

For promotion to Research Professor, a faculty member must have a national and international reputation built on an extensive body of high quality publications and with demonstrated impact on the field. A record of continuous funding is required, along with demonstrated research productivity as a result of such funding.

7.2 PROCEDURES

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 http://trustees.osu.edu/rules/university-rules.html and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the Policies and Procedures Handbook (http://oaa.osu.edu/handbook.html). The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the department.

CANDIDATE RESPONSIBILITIES

- To prepare and submit a dossier that is consistent with Office of Academic Affairs guidelines, and to do so according to the timelines described in § 9 of this document. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline, including but not limited to those highlighted on the Checklist.
- If external evaluations are required: to suggest three external evaluators.

COMMITTEE OF THE ELIGIBLE FACULTY RESPONSIBILITIES

Except as noted below, the Committee of the Eligible Faculty pertinent to making recommendations on the:

The department chair may attend meetings at which promotion and tenure matters are discussed and may respond to questions, but may not vote.

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

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in Spring Semester, requests from faculty members seeking a nonmandatory review in the following academic year and to decide whether it is appropriate for such a review to take place.
 - o The Committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (e.g.,' student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a nonmandatory review.
 - O A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (http://trustees.osu.edu/rules/university-rules.html) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
- o Consistent with Office of Academic Affairs policy, only faculty who are citizens or permanent residents of the United States may be considered for nonmandatory tenure review. The Subcommittee must confirm with the department chair that an untenured faculty member seeking nonmandatory tenure review is a U.S. citizen or permanent resident (i.e. has a "green card"). Faculty not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.

- Annually, during the Spring Semester, the committee elects a Procedures Oversight
 Designee, with responsibilities described in the Office of Academic Affairs annual
 procedural guidelines.
 - o Late Spring: Suggest names of external evaluators to the department chair.
 - o Early Autumn: Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - o Meet with each candidate for clarification as necessary and to provide the candidate an to comment on his or her dossier. (This meeting is not an occasion to debate the candidate's record.)
 - o Provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure initiating unit is another department..

COMMITTEE OF THE ELIGIBLE FACULTY MEMBER RESPONSIBITILIES

The responsibilities of individual members of the Committee of the Eligible Faculty are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- To attend all committee meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

DEPARTMENT CHAIR RESPONSIBILITIES

The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- Late Spring Semester: To solicit external evaluations from a list including names suggested by the Committee of the Eligible Faculty, the chair and the candidate. (Also see EXTERNAL EVALUATIONS below.)
- To make an adequate number of copies of each candidate's dossier available in an accessible place for review by the Committee of the Eligible Faculty at least two weeks before the meeting at which specific cases are to be discussed and voted upon.
- To remove any member of the Committee of the Eligible Faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.

- Mid Autumn Semester: To provide an independent written evaluation and recommendation for each candidate, following receipt of the Committee of the Eligible Faculty's completed evaluation and recommendation.
- To meet with the Committee of the Eligible Faculty to explain any recommendations contrary to the recommendation of the Committee.
- To inform each candidate in writing after completion of the department review process of:
 - o the recommendations by the Committee of the Eligible Faculty and department chair.
 - o the availability for review of the written evaluations by the Committee of the Eligible Faculty and department chair.
 - o of the opportunity to submit written comments on the above material, within ten days from of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Committee of the of the Eligible Faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the chair of the other TIU by the date requested.

EXTERNAL EVALUATIONS

External evaluations are obtained for all promotion reviews in which scholarship must be assessed, and for all promotion reviews in which national and/or international recognition is expected. These include all tenure-track promotion and tenure or promotion reviews, all research contract renewal and promotion reviews and all adjunct faculty promotion reviews. External evaluations are optional in other reviews and will be obtained as needed.

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

• is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation.

• provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Process for obtaining External Evaluations:

The candidate will suggest three external evaluators. The Committee of the Eligible Faculty will suggest at least five additional external evaluators to the department chair and provide a current evaluator report form with biographical information and a description of the qualifications of each suggested evaluator. The department chair will add at least three additional names to the list. A total of least eight evaluators will be selected, with at most three from the list suggested by the candidate and with at least three from the list recommended by the promotions and tenure committee. It is expected that the complete list will include distinguished academics and highly qualified practitioners who are in a position to evaluate the quality, relevance, and impact of the candidates work. The department chair is responsible for contacting the evaluators and obtaining the letters of evaluation.

The evaluators will be provided with a copy of the draft of the dossier and copies of the documentation of the three to five most significant contributions produced by the candidate. The candidate is responsible for selecting and providing this documentation.

The evaluators are asked to comment on:

- the candidate's impact on the field through his/her program of instruction, scholarship, and service
- the significance of the overall program of scholarship
- the originality and quality of the candidate's work
- a comparison of the candidate to others in the field at approximately the same stage of career development.

Requests for evaluation are made not later than mid-July, with responses due in mid-September. The promotion and tenure committee must consider all responses from the evaluators when evaluating the candidate. All responses must be included in the dossier.

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what, if any, action is warranted, e.g., requesting permission from the Office of Academic Affairs to exclude that letter from the dossier. It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

7.3 DOCUMENTATION

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

The complete dossier, including the documentation of instruction noted below, is forwarded when the review moves beyond the department. The documentation of scholarship and service noted below is for use during the department review only, unless reviewers at the college and University levels specifically request it.

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

7.3.1 Instruction/Teaching

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

- Cumulative SEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class.
- Peer evaluation of teaching reports as required by the department's Procedures for Peer Evaluation of Teaching.
- Copies of pedagogical papers, books or other materials published, or accepted for
 publication. Material accepted for publication but not yet published must be accompanied
 by a letter from the publisher stating that the work has been unequivocally accepted and
 is in final form with no further revisions needed.
- Other relevant documentation of instructional activities as appropriate.

7.3.2 Scholarship

For the time period since the last promotion:

- Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- Documentation of grants and contracts received.
- Other relevant documentation of scholarship as appropriate, e.g. published reviews
 including publications where one's work is favorably cited, or grants and contract
 proposals that have been submitted.

7.3.3 Service

For the time period since the last promotion:

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

8. APPEALS

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

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

9. SEVENTH YEAR REVIEWS

Faculty Rule 3335-6-05 (B) sets forth the conditions of and procedures for a seventh year review for a faculty member denied tenure as a result of a sixth year (mandatory tenure) review.

10. Appendix A: Table of Annual Milestones	
September 1	Request to be considered for promotion and/or tenure the following year communicated by candidate to Department Chair.
Feb 15	Format for information required for annual review is distributed.
March 15	Annual review materials due.
June 10	Draft dossiers due from all candidates for promotion and tenure.
July 15	Letters from outside evaluators for all candidates for promotion and tenure requested by department chair based on a list compiled by candidate, promotion and tenure committee, and department chair.
July 31	Annual review results reported to faculty.

September 15	Outside evaluation letters due.
September 15	Completed dossiers due from all candidates for promotion and

	tenure. Completed dossiers due from all untenured faculty preparing for a fourth year review.
October 1	Reviews of nominees for tenure, promotion to associate professor, and promotion to professor completed by eligible faculty.
Autumn Semester	Nominations for promotion and tenure submitted to the college by the department chair according to college and university timetable.