

APPOINTMENTS, PROMOTION AND TENURE

CRITERIA AND PROCEDURES FOR THE DEPARTMENT OF MECHANICAL AND AEROSPACE ENGINEERING

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APPOINTMENTS, PROMOTION AND TENURE

CRITERIA AND PROCEDURES FOR THE DEPARTMENT OF MECHANICAL AND AEROSPACE ENGINEERING

1. PREAMBLE

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (<http://trustees.osu.edu/university/facultyrules>), Volume 3 of the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/assets/files/documents/3HBP&T.pdf>), the Department of Mechanical and Aerospace Engineering Pattern of Department Administration, and any additional policies established by the College of Engineering and the University. Should these rules and policies change, the department shall 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 appointment or reappointment of the Department Chair. Definitions of terms in this document relating to groups and committees within the Department of Mechanical and Aerospace Engineering are found in the Department of Mechanical and Aerospace Engineering Pattern of Department Administration.

This document must be approved by the Dean of the College of Engineering and the Office of Academic Affairs before it can 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, faculty promotion and/or 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 of applying high standards in evaluating continuing faculty and candidates for positions in relation to its mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule{ XE "Rules of the University Faculty" } 3335-6-01 (<http://trustees.osu.edu>) 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>) and other standards specific to this department{ XE "department" } and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's policy on equal opportunity (<http://hr.osu.edu/policy/policy110.pdf>).

2. DEPARTMENT MISSION

The mission of the Department of Mechanical and Aerospace Engineering is the education of professionals and future leaders in mechanical, aerospace, and nuclear engineering, the generation

and dissemination of knowledge and technology, and the development of innovative solutions to problems in these and other fields.

3. DEFINITIONS

3.1 COMMITTEE OF ELIGIBLE FACULTY

3.1.1 TENURE TRACK FACULTY

- The eligible faculty for appointment reviews of tenure track faculty consists of all tenure track faculty whose tenure resides in the department.
- The eligible faculty for reappointment, promotion and tenure, and promotion reviews of tenure track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department, excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.
- For tenure reviews of probationary faculty of a given rank, eligible faculty are tenured professors of comparable and greater rank and 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, reappointment, and contract renewal of clinical faculty consists of all tenure track faculty whose tenure resides in the department, and all clinical faculty whose primary appointment is in the department.
- The eligible faculty for promotion reviews of clinical faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department, and all non-probationary 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, reappointment, and contract renewal 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 promotion reviews of research faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department, all non-probationary clinical faculty of equal rank to or higher than the candidate whose primary appointment is in the department, and all non-probationary research track 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 (e.g. dissertation advisor in the recent past), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible, for example, collaboration with a candidate on at least 50% of the candidate's published work since the last promotion. The determination of whether a conflict exists in specific cases will be made by the department chair in consultation with the faculty members on the administrative team, and will be done in a manner that faculty collaboration shall continue to be encouraged and faculty are not penalized for collaboration. Eligible faculty with a conflict of interest shall not participate in the balloting.

3.1.5 MINIMUM COMPOSITION

In all promotion and tenure actions, there must be a minimum of three eligible faculty members. 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 PROMOTION AND TENURE COMMITTEE

The Promotion and Tenure (P&T) Committee consists of at least five tenured members of the faculty with the rank of Professor for whom the Department is the tenure initiating unit, who are appointed by the Chair and normally serve three year terms. Every effort will be made to ensure that the membership of the P&T Committee will be diverse and inclusive. The function of the committee is to assist the department chair in consideration of promotion and tenure cases, and to prepare draft reports on P&T cases for discussion by the eligible faculty. The membership of the committee should normally include representation from all the graduate disciplines residing in the department.

- For consideration of the promotion of clinical faculty, the Promotion Committee shall consist of the members of the P&T Committee, supplemented if needed by up to two other Full Professors belonging to the tenure track or clinical faculty and named by the Department Chairperson to serve in this committee for three-year terms. This committee shall perform the screening, evaluation, and organizational functions listed above for all promotion cases involving clinical faculty.
- For consideration of the promotion of research faculty, the Promotion Committee shall consist of the members of the P&T Committee, supplemented if needed by up to two other Full Professors belonging to the tenure track or research faculty and named by the Department Chairperson to serve in this committee for three-year terms. This committee shall perform the screening, evaluation, and organizational functions listed above for all promotion cases involving research track faculty.

3.3 QUORUM, VOTING, AND POSITIVE OUTCOME

The quorum required to vote on all personnel decisions is three-fourths 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.

3.4 RECOMMENDATION FROM THE COMMITTEE OF ELIGIBLE FACULTY

- Faculty ballots designed to protect anonymity of the voters are required on personnel matters. The ballots may be by paper, electronic, or other means deemed appropriate by future technology while preserving anonymity of voters.
- 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.
- For a ballot on personnel matters to be considered valid, it must involve voting by three-fourths of the eligible faculty. A majority of two-thirds of the faculty casting votes affirmatively on the case would be considered a positive outcome for purposes of appointment, reappointment, promotion and tenure, promotion, or contract renewal.

4.0 APPOINTMENTS: CRITERIA AND PROCEDURES

4.1 CRITERIA: FACULTY

Consistent with the goals and mission of the Department of Mechanical and Aerospace Engineering at The Ohio State University, the criteria for appointment of faculty must meet high standards of excellence. The expectations for scholarly promise of the successfully-appointed candidate must meet or exceed the Department’s official criteria for promotion and tenure in the case of tenure-track faculty, and promotion in the case of clinical track and research track faculty. For an appointment at the Associate Professor or Full Professor levels, the scholarly accomplishments of the candidate must meet or exceed the Department’s criteria for promotion to those levels. In general, the successful candidate must demonstrate high promise for performing independent as well as collaborative, significant and visible research and scholarship, and excellence in teaching and service, with emphasis on the different areas of accomplishment appropriate for the faculty category. The following is a list of criteria that must be met by the successful candidate as determined by the Search Committee for the position being filled, and as agreed upon by the Department as a whole:

4.1.1 TENURE TRACK FACULTY

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

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department’s eligible faculty, the department chair,

the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition all probationary faculty members have the option to be considered for early promotion.

4.1.1.1 APPOINTMENT AS A TENURE TRACK ASSISTANT PROFESSOR

- The successful candidate must have an earned doctorate in a relevant field of study, or possession of equivalent experience.
- The successful candidate must provide clear evidence of research promise as defined by demonstrated ability to perform, complete and publish a major body of work that is relevant to his/her area(s) of specialization.
- The successful candidate must have uniformly outstanding recommendation letters that establish the candidate as one of the top candidates of his or her peer group nationally.
- The successful candidate must demonstrate potential for excellence in teaching, and must have excellent communication and writing skills.
- The successful candidate must display evidence of potential for service to the institution and the professional community.
- Appointment at the rank of Assistant Professor is always probationary, with mandatory tenure review occurring in the sixth year of service. The granting of prior service credit, which requires approval of the College and the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

4.1.1.2 APPOINTMENT AS ASSOCIATE PROFESSOR

- The successful candidate for appointment at this level with tenure must meet or exceed the Department's Criteria for Promotion to Associate Professor with Tenure as described in Section 7.2.
- If the candidate does not currently hold a faculty position, the candidate might not have had the opportunity to engage in teaching or in the training of graduate students, or in independently raising grant support for his/her research program. In this case, evidence of scholarship accomplishments must be presented which demonstrates the candidate's development of a national/international stature in his/her area of research. The candidate's previous research record must be comparable in depth and breadth to that of an Associate Professor within the Department. There should also be a high probability that the candidate will make an effective transition to a faculty position with regard to his/her research program, as measured by relevance to the future of his/her field and by funding potential. There must also be a high potential for success as an instructor at both the undergraduate and graduate levels.
- A probationary appointment at this level is appropriate only under unusual circumstances and in accordance with Faculty Rule 3335-6-03. A probationary period of up to four years is possible, on approval of the College and the Office of Academic Affairs, with mandatory review for tenure occurring in the final year of the probationary appointment.
- Foreign nationals who lack U.S. permanent residency status may be appointed at this level and approved for tenure, if appropriate, but the University does not grant tenure until receipt of permanent residency.

4.1.1.3 APPOINTMENT AS PROFESSOR

- The successful candidate for appointment at this level with tenure must meet or exceed the Department's Criteria for Promotion to Professor as described in Section 7.3, with particular emphasis on the requirement that the candidate have national and international recognition as a scholar in his/her area.
- If the candidate does not currently hold a faculty position, the candidate might not have had the opportunity to engage in teaching or in the training of graduate students, or in independently raising and continuing grant support for his/her research program. The candidate's previous research record must be comparable in depth and breadth to that of a Professor within the Department. In this case, evidence of scholarship accomplishments must be presented which demonstrates the candidate's development of a national/international stature in his/her area of research. There should be strong evidence that the candidate will establish a well-funded, productive, and nationally and internationally-recognized research program that will involve the education and training of Ph.D. and M.S. graduate students. There must also be a high potential for success as an instructor at both the undergraduate and graduate levels.
- A probationary appointment at this level is appropriate only under unusual circumstances and in accordance with Faculty Rule 3335-6-03. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with mandatory review for tenure occurring in the final year of the probationary appointment.
- Foreign nationals who lack U.S. permanent residency status may be appointed at this level and approved for tenure, if appropriate, but the University does not grant tenure until receipt of permanent residency.

4.1.1.4 APPOINTMENT AS INSTRUCTOR

Appointment at the Instructor level should normally only be made if the offered appointment is that of tenure track Assistant Professor, with all of the criteria for appointment at that level being met with the exception that the appointee has not yet completed the Ph.D. degree at the outset of the appointment. Such an appointment should only be made when the award of the degree is imminent. Instructor appointments are limited to three years, with the third year being the terminal year.

4.1.2 APPOINTMENT AS TENURE TRACK FACULTY AT REGIONAL CAMPUSES

The Department of Mechanical and Aerospace Engineering does not have tenure-track faculty at regional campuses.

4.1.3 APPOINTMENT TO CLINICAL TRACK FACULTY

Clinical faculty appointments can be made at the Assistant, Associate or Professor level and will be referred to as "(Assistant, Associate, or Professor) Professor of Practice in Mechanical and Aerospace Engineering." These appointments have some expectations for scholarly promise and/or accomplishments, but with a greater emphasis on excellence in teaching and scholarship related to professional engineering practice and lesser emphasis on research publication and external research funding. Research *per se* is not acceptable as an evaluation criterion for hiring.

The successful candidate will have:

- an earned Ph.D. although exceptions can be made for extremely well qualified candidates. An M.S. degree is required. Relevant industrial or governmental professional experience can be counted in place of a Ph.D.

- a strong component of professional engineering practice and accomplishment in his/her background. Professional specializations need to be well aligned with department needs.
- demonstrated communication and instructional skills and the ability to transfer and share knowledge.
- the ability to improve the curriculum in his/her area of expertise and create new courses where appropriate.
- a demonstrated interest in teaching and a strong interest in College of Engineering students.
- demonstrated communication skills and mastery of the English language in both written and verbal forms.

Appointment of clinical faculty entails a three-, four- or 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. 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. For more information see Faculty Rule 3335-7, Chapter 7 of Rules of the University Faculty (<http://trustees.osu.edu/university/facultyrules>)

4.1.4 APPOINTMENT TO RESEARCH TRACK FACULTY

Research faculty appointments can be made at the Assistant, Associate or Professor level and will be referred to as “(Assistant, Associate, or Professor) Research Professor in Mechanical and Aerospace Engineering.” These appointments are similar to tenure track faculty appointments in the expectations for scholarly promise and/or accomplishments, but with a greater emphasis on research and lesser emphasis on teaching. Teaching *per se* is not acceptable as an evaluation criterion for hiring.

The successful candidate will have:

- an earned Ph.D. in Mechanical, Aerospace or Nuclear Engineering or other relevant field in an area of interest aligned with department research needs.
- demonstrated research ability or potential in an area of interest aligned with department research needs demonstrated by:
 - Publications, patents
 - Strong track record or potential for externally funded research
 - Leading externally-sponsored research projects
 - Advising or co-advising of graduate students
 - Peer evaluations of research
 - Seminars, short courses and other research dissemination activities
- demonstrated communication skills and mastery of the English language in both written and verbal forms.

In MAE, appointments of research faculty normally entails 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. For more

information see Faculty Rule 3335-7, Chapter 7 of Rules of the University Faculty (<http://trustees.osu.edu/university/facultyrules>).

4.1.5 APPOINTMENTS FOR ASSOCIATED FACULTY

Criteria for original appointments and re-appointments in this category are the same as for faculty of comparable rank in the corresponding track (tenure track, clinical track, or research track) and 100% appointments in the Department of Mechanical and Aerospace Engineering. Auxiliary appointments are made for no more than one year at a time.

4.1.5.1 VISITING PROFESSOR, VISITING ASSOCIATE PROFESSOR, VISITING ASSISTANT PROFESSOR, AND VISITING INSTRUCTOR

The visiting faculty rank is to be conferred on a person with faculty credentials who typically holds a faculty appointment at another institution. The appointment of the visiting faculty member can only occur if the visiting person will be collaborating with a faculty member within the Department. Evidence of the collaboration should be provided in the nominating letter from a faculty member. Visiting faculty members on leave from an academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for appointment of tenure-track faculty{ XE "regular tenure track (RTT) faculty" }. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three consecutive years at 100% FTE.

4.1.5.2 LECTURER AND SENIOR LECTURER

The Lecturer and Senior Lecturer positions are to be used only when specific instructional needs are identified in the Department. Persons appointed to the Lecturer position are expected to have special qualifications which help meet the instructional need. Evidence of qualifications includes advanced degrees and/or experience related to the topics in the course. Persons appointed to the Senior Lecturer position will have advanced degrees and greater depth of experience related to the identified need. Lecturers and Senior Lecturers are not eligible for tenure or promotion.

4.1.5.3 PROFESSOR, ASSOCIATE PROFESSOR, ASSISTANT PROFESSOR, OR INSTRUCTOR APPOINTMENT, WITH LESS THAN 50% TIME IN MECHANICAL AND AEROSPACE ENGINEERING

An associated faculty appointment at titles is for individuals at 49% FTE or below, either compensated or uncompensated. Criteria for original appointments and re-appointments in this category are the same as for faculty of comparable rank with 100% appointments in the Department of Mechanical and Aerospace Engineering. Associated faculty members with faculty titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure track faculty.

4.1.5.4 ADJUNCT PROFESSOR, ADJUNCT ASSOCIATE PROFESSOR, ADJUNCT ASSISTANT PROFESSOR, AND ADJUNCT INSTRUCTOR

Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service{ XE "service" } to the department{ XE "department" }, such as teaching{ XE "teaching" } a course or serving on graduate student committees, for which a faculty title{ XE "faculty titles" } is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty{ XE "regular tenure track (RTT) faculty" }. Adjunct

faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

Adjunct faculty will work closely with faculty in the Department on instructional and/or research activities. In order to receive the adjunct position, there must be a specific need in the Department for a person to perform departmental duties such as teaching courses, advising graduate students or providing research project leadership, which would bring support to the undergraduate or graduate education program. Adjunct faculty will not, however, be given primary responsibility for advising a graduate student.

The criteria for the adjunct appointment are dependent on the reason for the appointment. If the person seeks an adjunct appointment for teaching a course, that person must provide evidence that he/she has the capability for good teaching and has a good knowledge of the material taught in the course. Evidence of this includes an advanced degree and/or teaching experience in the subject area. The candidate is expected to demonstrate good communication skills, which can be judged through any appropriate means, such as an interview. All candidates for adjunct faculty appointments will present a Department Seminar. If the purpose of the adjunct appointment is for research collaboration and student advising, the criterion for appointment is evidence of research excellence. Some possible means for judging research excellence are publication of books and book chapters, journal and conference publications, letters of recommendation, patents, and experience in performing and directing research within a government laboratory, company or university. The criteria for research excellence should be flexible. For example, the reward systems for researchers in industry do not place the same emphasis on journal publications as is the case for researchers in universities. Therefore, the judgment of research excellence should be done on a case-by-case basis.

4.1.6 CRITERIA: COURTESY APPOINTMENTS FOR FACULTY

The courtesy appointment is a no-salary joint appointment for members of The Ohio State University faculty from other tenure initiating units. Its purpose is to facilitate research and curricular collaboration between faculty members from different departments. The appointee's rank in the tenure initiating unit will be respected in making the appointment in Mechanical and Aerospace Engineering. Continuation of the appointment should reflect ongoing contributions to the Department.

4.2 PROCEDURES FOR APPOINTMENT

4.2.1 PROCEDURES FOR APPOINTMENT OF TENURE TRACK FACULTY

See Policy on Faculty Appointments of the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" }, <http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf> on the following topics:

- recruitment{ XE "recruitment and hiring" } of tenure track, clinical and research{ XE "research, scholarship" } faculty{ XE "regular research track (RRT) faculty" }
- appointments at senior rank{ XE "senior rank" } or with prior service{ XE "service" } credit{ XE "prior service credit" }
- hiring{ XE "recruitment and hiring" } faculty from other institutions after April 30{ XE "April 30" }
- appointment of foreign national{ XE "foreign national" }s
- letters of offer

Unless a targeted search has been approved by the Department Chair, Dean of the College of Engineering, and Office of Academic Affairs, a Search Committee, appointed by the Department Chair, shall be responsible for conducting national searches for new, tenure track faculty members. The search committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants
- Appoints as Procedures Oversight Designee a member other than the committee Chair who is responsible for ensuring that proper procedures are followed during the search, and for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the university Personnel Postings through the Office of Human Resources Employment Services (<http://hr.osu.edu>) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- 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. The university does not grant tenure in the absence of permanent residency ("green card"), and U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally circulated print journal.

The leading candidates will normally be invited to visit the Department to speak with the Department Chair and members of the search committee and the faculty, and to deliver a prepared lecture at a Departmental Seminar. All faculty members shall be asked to review the candidate's resume and make pertinent comments to the Search Committee and to the Department Chair.

The Department Chair will conduct a vote of the Committee of the Eligible Faculty, following a meeting where the search committee presents its recommendations to the eligible faculty. An offer will be made by the Department Chair only after giving careful consideration to all competing candidates for the position, and after reviewing the recommendations of the Search Committee, and consideration of the faculty vote. All appointments require the approval of the Dean of the College of Engineering. Appointments at the rank of Associate or Full Professor also require approval of the Office of Academic Affairs. Appointments with tenure at either of these levels must also follow the Department's tenure approval procedures, described in Section 7.1. After the successful appointment of a new faculty member, the Department Chair may nominate

one or more appropriate mentors to aid the new faculty member with regard to procedures and processes of research, teaching and service within the University.

4.2.2 PROCEDURES FOR APPOINTMENT OF TENURE TRACK FACULTY AT REGIONAL CAMPUSES

The Department of Mechanical and Aerospace Engineering does not have tenure-track faculty at regional campuses.

4.2.3 PROCEDURES FOR APPOINTMENT AND REAPPOINTMENT: CLINICAL FACULTY

The procedures to initially appoint clinical faculty members at any level are modeled after those used for tenure track faculty members as described in Section 4.2.1, including the requirement for a faculty vote, but with the following modifications. Candidates will be evaluated primarily on their professional practice expertise in an area of relevant to the mission of the department, their instructional ability or potential, and their ability to contribute significantly to the department's curriculum.

The search for a clinical faculty member can be initiated only after the position has been approved by the Dean of the College of Engineering, and exceptions to a national search require approval only by the Dean. Approval of the position would normally follow the case for such a position being made by the department based on value of the position and its financial viability. An offer will be made by the Department Chair after the search after giving careful consideration to all competing candidates for the position, and after reviewing the recommendations of the committees involved and consideration of the faculty vote.

The Mechanical and Aerospace Engineering Department allows for transfer from the tenure track of faculty to the clinical faculty if appropriate to the circumstances. Such transfers must abide by the following:

- 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;
- When a tenured faculty member transfers to clinical faculty, tenure is lost; and
- The Administrative team of the department will advise the department chairperson on the terms of the transfer and will vote on the transfer, such a vote being advisory to the department chairperson.

All appointments require the approval of the Dean of the College of Engineering. Appointments at the rank of Associate or Professor also require approval of the Office of Academic Affairs.

The initial contract is probationary and the faculty member will be informed by the end of each probationary year as to whether he or she will be reappointed for the following year. By the end of the second to final year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. Contract renewal will be considered only if continuation of the position is approved by the Dean.

The procedures for contract renewal of track faculty will be consistent with similar procedures for tenure track faculty, and would require a vote of the eligible faculty. During and until the end of the second and subsequent contract periods, clinical faculty appointments may only be terminated for cause (see Faculty rule 3335-5-04) or financial exigency (see Faculty rule 3335-5-02.1) (<http://trustees.osu.edu/university/facultyrules>) and the termination decision for either of these reasons shall result from procedures established by faculty rules.

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

4.2.4 PROCEDURES FOR APPOINTMENT AND REAPPOINTMENT: RESEARCH FACULTY

The procedures to initially appoint research faculty members at any level are modeled after those used for tenure track faculty members as described in Section 4.2.1, but with the following modifications. Candidates will be evaluated primarily on their professional expertise in their research area of mechanical, aerospace, or nuclear engineering, their research ability or potential, and their ability to increase the scholarship and sponsored research in the department.

The search for a research track faculty member can be initiated only after the position has been approved by the Dean of the College of Engineering, and exceptions to a national search require approval only by the Dean. Approval of the position would normally follow the case for such a position being made by a sponsoring research group with a demonstrated funding track record and a willingness to fully fund the position for the period of initial appointment. An offer will be made by the Department Chair only after giving careful consideration to all competing candidates for the position, and after reviewing the recommendations and vote of the eligible faculty.

The Mechanical and Aerospace Engineering department allows for transfer from the tenure track of faculty to the research faculty if appropriate to the circumstances. Such transfers must abide by the following:

- 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;
- When a tenured faculty member transfers to the research faculty, tenure is lost; and
- The Administrative team will advise the department chairperson on the terms of the transfer and will vote on the transfer, such a vote being advisory to the department chairperson

All appointments require the approval of the Dean of the College of Engineering. Appointments at the rank of Associate or Full Professor also require approval of the Office of Academic Affairs.

The initial contract is probationary, and the faculty member will be informed by the end of each probationary year as to whether he or she will be reappointed for the following year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. Contract renewal will be considered only if continuation of the position is approved by the Dean.

The procedures for contract renewal of research faculty will be consistent with similar procedures for tenure track faculty, and would require a vote of the eligible faculty. During and until the end of the second and subsequent contract periods, research faculty appointments may be terminated for not meeting the terms of the contract (e.g. failure to obtain extramural support for the research). Appointments may also be terminated during a contract period for cause (see Faculty rule 3335-5-04), or financial exigency (see Faculty rule 3335-5-02.1) (<http://trustees.osu.edu/university/facultyrules>), and the termination decision for either of these reasons shall result from procedures established by faculty rules.

Transfers from the research to the tenure track are not permitted. Research faculty members may apply for tenure track positions and compete in national searches for such positions.

4.2.5 PROCEDURES FOR APPOINTMENT: ASSOCIATED FACULTY

Requests from faculty for associated faculty appointments, with the exception of visiting

faculty appointments, shall be presented by the Chair to the Executive Committee by late Spring term, which shall then make a recommendation to the faculty. All faculty members shall be given a chance to review the candidate's resume and make pertinent comments to the Executive Committee and to the Department Chair. A final decision will be made by the Department Chair, after reviewing the recommendations of the Executive Committee and the faculty. The appointment is subject to the approval of the Dean of the College of Engineering. These appointments are made for one year at a time and require formal annual renewal if they are to be continued. A request for a continuing appointment must be accompanied by an annual report documenting professional activities and interaction with students and faculty of the Department of Mechanical and Aerospace Engineering.

4.2.5.1 VISITING PROFESSOR, VISITING ASSOCIATE PROFESSOR, VISITING ASSISTANT PROFESSOR, AND VISITING INSTRUCTOR

Nominations for appointment to a visiting faculty position are to be submitted, in writing, to the Department Chair by a person holding a faculty position in the Department. Normally, this would be the faculty member with whom the visiting faculty member will be working. Final notification of approval will be by a letter from the Department Chair to the nominated visiting faculty member and to the faculty member making the nomination.

4.2.5.2 LECTURER AND SENIOR LECTURER

Identification of the need for such a position, and endorsement of an individual to fill the position, may come from a Technical Committee or a group of faculty members, with final written approval by the Department Chair.

4.2.5.3 PROFESSOR, ASSOCIATE PROFESSOR, ASSISTANT PROFESSOR, OR INSTRUCTOR APPOINTMENT, WITH LESS THAN 50% TIME IN MECHANICAL AND AEROSPACE ENGINEERING

Original appointments and re-appointments in this category will be handled in the same manner as for faculty of comparable rank.

4.2.5.4 ADJUNCT PROFESSOR, ADJUNCT ASSOCIATE PROFESSOR, ADJUNCT ASSISTANT PROFESSOR, AND ADJUNCT INSTRUCTOR

Each person seeking the position of adjunct faculty must have an advocate who has a faculty appointment in the Department. This advocate must detail in writing the specific tasks to be assigned to adjunct candidates during the appointment period. In addition, the home unit of the adjunct candidate may also be required to supply documentation supporting such an appointment. Finally, the candidate must supply a resume.

The Administrative team of the department will evaluate the adjunct faculty candidate's documentation and make a recommendation to the Department Chair as to the candidate's suitability for the position and the appropriate rank to be conferred. The Department Chair shall then consult with the faculty, and either make the appointment, or reject the candidate's request. This appointment must be in accordance with the policies and procedures approved by the Office of Academic Affairs. The Department Chair will send letters announcing the decision to the candidate, the internal faculty advocate, and the candidate's home unit, if appropriate. Letters of appointment must be approved by the College, and initial appointments at senior rank must be approved by the Office of Academic Affairs.

For reappointment, the adjunct faculty member must submit an activity report describing the

duties performed during the appointment period that relate to the purpose of the original appointment. Additional activities related to the instructional and/or research needs of the Department should also be included in this report. Reappointment will be based on this report along with reports from both the faculty advocate and the supporting unit; the latter must indicate an agreement to continue support for the candidate.

4.2.6 PROCEDURES FOR APPOINTMENT: COURTESY FACULTY APPOINTMENTS

Each person seeking a courtesy appointment must have an advocate who has a faculty appointment in the Department. This advocate must provide a letter justifying the need for the courtesy appointment. In addition, the candidate must provide a resume and any other pertinent information detailing his/her research record.

The Administrative team will evaluate the candidate's documentation and, on that basis, make a recommendation to the Department Chair as to the candidate's suitability for the position. The Department Chair, based on consultations with the faculty, shall then either approve or reject the candidate's request. The faculty member who receives the courtesy appointment is expected to turn in an activity report every year, describing the contributions he/she has made to the Department. If the contributions to the Department are not substantial, the Department Chair can terminate the courtesy appointment.

5. ANNUAL REVIEWS

Procedures for annual reviews of tenure-track faculty are described below. Procedures for tenure-track faculty with appointments of less than 100% in the Department of Mechanical and Aerospace Engineering are the same if the Department is the tenure-initiating unit, with the exception of joint appointments, in which case the Department Chair will seek input from the Chair(s) of other department(s) which may be involved. Tenure track faculty for whom other departments serve as tenure-initiating units will be evaluated by their tenure-initiating units, with input from the Mechanical and Aerospace Engineering Department Chair as appropriate.

The department follows the requirements for annual reviews as set forth in the Faculty Annual Review Policy, <http://oaa.osu.edu/assets/files/documents/annualreview.pdf>. The annual reviews of every faculty member are based on expected performance in teaching, research, and service as set forth in the department's policy on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

The department{ XE "department" } chair{ XE "chair, director" } is required (per Faculty Rule{ XE "Rules of the University Faculty" } 3335-3-35 [<http://trustees.osu.edu>]) to include a reminder in the annual review{ XE "annual review" } letter that all faculty have the right (per Faculty Rule 3335-5-04 [<http://trustees.osu.edu>]) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

5.1 ANNUAL AND FOURTH YEAR REVIEW PROCEDURES: PROBATIONARY TENURE TRACK FACULTY

5.1.1 ANNUAL REVIEW PROCEDURES

In order to ensure that probationary tenure-track faculty (tenure track faculty who are untenured) are formally aware of the progress of their professional development, during each

spring term they will meet with, and be reviewed by, the Department Chair. Prior to that meeting, they will provide the chair with a summary of their professional achievements in the format for annual reports prescribed by the Chair (see Appendix A), along with an updated curriculum vitae. This annual report is in addition to the dossier that probationary faculty members are required by OAA to submit for annual reviews. The documentation required for the annual performance review is described under “Annual Reviews: Documentation” below. The past year's activities, the faculty member's strengths and weaknesses, and progress in professional development will be discussed as part of the annual review. A written summary of the annual review will be given to the individual, and a copy will be kept on file. The department chair is required (per Faculty Rule 3335-3-35, (<http://trustees.osu.edu/university/facultyrules>), to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04, (<http://trustees.osu.edu/university/facultyrules>), to view their primary personnel file and to provide written comment on any material therein for inclusion in the file. 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).

Any nonrenewal of a probationary appointment (except denial of tenure resulting from review for promotion and tenure) must result from a negative review following the procedures for a fourth year review described below. The chair may initiate such a review in any year by so notifying the probationary faculty member in writing. If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-04, <http://trustees.osu.edu/university/facultyrules>, 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.

During the spring term of the third year of probationary service, the Promotion and Tenure (P&T) Committee will review the performance of tenure track faculty members with respect to their teaching, research, and service. This review serves as a precursor to the college-level fourth year review that occurs in the following year, and is intended to provide guidance to the faculty member as described below. Past annual reports from the faculty member, annual review letters, and updated curriculum vitae, shall be made available to the P&T Committee. Student evaluations of teaching shall also be used, as well as other documentations of teaching performance, if available for the faculty member. The P&T committee shall summarize different aspects of the faculty member's performance to date, and the committee chair and the Department Chair shall meet jointly with the faculty member at the conclusion of the review to convey the results of the review.

5.1.2 FOURTH YEAR REVIEW PROCEDURES

For a fourth year review, material from annual reports filed by the candidate, annual reviews of the candidate, faculty evaluations of the progress of the candidate's professional development, and student evaluations of the candidate's teaching will also be considered. The P&T Committee is responsible for arranging for peer visits to the classroom of the candidate and for documentation of the peer evaluation, as described in Section 7.1.1.1. To be positive, the fourth year review must amply demonstrate that an untenured faculty member is becoming an effective teacher and developing into a nationally/internationally recognized scholar. It must be concluded that, if he/she continues to develop, there will be a strong case for tenure by the time of mandatory evaluation for promotion and tenure.

A probationary faculty member eligible for fourth year review is first considered by the P&T

Committee. The candidate and his/her dossier, including his/her statement of accomplishment, will be reviewed for a recommendation. External evaluations are optional and are only solicited when either the Department Chair, the P&T Committee, or the eligible faculty determine that they are necessary to conduct the fourth year review. This may occur when the candidate's research is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the research without outside input. At the conclusion of its deliberation, the P&T Committee will prepare a written report for each candidate.

Following the report by the P&T Committee, probationary faculty members being evaluated for fourth year review are considered by the eligible faculty. A meeting of the eligible faculty will be held with open discussion of each candidate. Prior to this meeting, the candidate's complete dossier will be available for review by the eligible faculty. At the conclusion of these deliberations, a vote of the eligible faculty is held on each candidate, by secret ballot.

The report of the P&T Committee, modified to reflect the discussion among the eligible faculty, together with the vote of the eligible faculty, act as recommendations to the Department Chair. If the Chair's assessment on whether the candidate is likely to compile a tenurable record by the time of mandatory evaluation for promotion and tenure is in disagreement with that of the eligible faculty, he/she will discuss his/her reasoning with the eligible faculty. The Chair's decision will be made known to the candidate. The Chair will forward his/her recommendation to the Dean of The College of Engineering together with the candidate's dossier, the report by the P&T Committee, and the vote of the eligible faculty. At the conclusion of the department review, the formal comments process (<http://trustees.osu.edu/university/facultyrules>), 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 nonrenewal. A final decision on whether to continue appointment beyond the fourth year is made by the Dean after reviewing the dossier including the vote of the eligible faculty, and the Chair's recommendation.

5.1.3 EXCLUSION OF TIME FROM PROBATIONARY PERIOD

Faculty Rule{ XE "Rules of the University Faculty" } 3335-6-03 (D) (<http://trustees.osu.edu>) sets forth the conditions under which a probationary{ XE "probationary" } tenure-track faculty{ XE "regular tenure track (RTT) faculty" } member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs Policies and Procedures{ XE "Academic Affairs, Office of (OAA)" } Handbook (<http://oaa.osu.edu/handbook.html>).

A faculty member's decision to request excluded time shall not prejudice the P&T Committee, the eligible faculty, or the Department Chair concerning their perception of the faculty member's performance.

5.1.4 REVIEW PROCEDURES: PROBATIONARY TENURE TRACK FACULTY AT A REGIONAL CAMPUS

The Department of Mechanical and Aerospace Engineering does not have tenure-track faculty at regional campuses.

5.2 ANNUAL REVIEW PROCEDURES: TENURED FACULTY

The Department Chair will meet with each tenured faculty member annually to discuss that person's work, identify ways in which it might be facilitated or improved, and provide feedback to the faculty member. Prior to that meeting, the faculty member will provide the chair with a summary of his/her professional achievements in the format for annual reports prescribed by the

Chair. The documentation required for the annual performance review is described under “Annual Reviews: Documentation” below. The past year's activities, the faculty member's strengths and weaknesses, and progress in professional development will be discussed as part of the annual review. This will be followed up by a letter to the faculty member from the Chair summarizing the review. The letter will include the main points of the conversation, and may be combined with notification of that faculty member's recommended salary increment for the following year.

5.3 ANNUAL REVIEW PROCEDURES: TENURED FACULTY AT A REGIONAL CAMPUS

The Department of Mechanical and Aerospace Engineering does not have tenured faculty at regional campuses.

5.4 ANNUAL REVIEW PROCEDURES: CLINICAL FACULTY

The procedures for clinical faculty members at any level are similar to those used for probationary faculty in that the term of the contract is specified, and is subject to renewal or non-renewal. In order to ensure that the faculty member is formally aware of the progress of his/her professional development, during each spring term he/she will meet with, and be reviewed by the Department Chair. In cases of appointment which do not coincide with the beginning of the Autumn term, this meeting will be at the end of the first year of service. Prior to that meeting, the candidate will provide the chair with a summary of professional achievements. The past year's activities, the faculty member's strengths and weaknesses, and progress in professional development will be discussed. A written summary of the meeting will be given to the individual, and a copy will be kept on file. The annual meeting with the Department Chair and the summary letter will focus on the faculty member's instructional activities during the past year as well as other advising and curriculum duties for which they are responsible. Performance reviews for clinical faculty members would recognize that performance expectations for clinical faculty emphasize teaching and curriculum development in areas of the curriculum with a significant professional practice component, as well as scholarly activities related to professional practice.

Any non-renewal of the contract must result from termination of the position or a negative performance review, the latter occurring either during an annual review of a probationary contract or in the penultimate year of the contract. Non-renewal of a clinical track faculty appointment requires the approval of the Dean. 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/university/facultyrules>) 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 except that external letters are required only if promotion is being considered, and the Dean makes the final decision on re-appointment at the same rank. There is no presumption of renewal of contract.

5.5 ANNUAL REVIEW PROCEDURES: RESEARCH FACULTY

The procedures for research faculty members at any level are similar to those used for probationary faculty in that the term of the contract is specified, and is subject to renewal or non-renewal. In order to ensure that the faculty member is formally aware of the progress of his/her

professional development, during each spring term he/she will meet with, and be reviewed by, the Department Chair. In cases of appointment which do not coincide with the beginning of the Autumn term, this meeting will be at the end of the first year of service. Prior to that meeting, the candidate will provide the chair with a summary of professional achievements, and the sponsoring research group will also provide a formal assessment of the faculty member's progress (see Appendix A), as well as an up to date curriculum vitae. The past year's activities, the faculty member's strengths and weaknesses, and progress in professional development will be discussed. A written summary of the meeting will be given to the individual as well as the sponsoring research group, and a copy will be kept on file. The meeting with the Department Chair and the summary letter will focus on the faculty member's research, sponsored research funding and scholarship during the past year, as well as graduate student advising and other service duties for which he/she is responsible. Performance reviews for research faculty would emphasize research performance including externally funded research, leadership of sponsored research projects, advising of graduate students, high quality, peer-reviewed publications, and peer evaluations of research.

Any non-renewal of the contract must result from termination of the position or a negative performance review, the latter occurring either during an annual review of a probationary contract or in the penultimate year of the contract. 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. Non-renewal of a research faculty appointment requires the approval of the Dean. The standards of notice set forth in Faculty Rule 3335-6-08, (<http://trustees.osu.edu/university/facultyrules>) 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 except that external letters are required only if promotion is being considered, and the Dean makes the final decision on re-appointment at the same rank. There is no presumption of renewal of contract.

5.6 ANNUAL REVIEWS: DOCUMENTATION

All faculty members are responsible for providing annual reports to the Department Chair each spring term, using the formats shown in Appendix A, along with updated curriculum vitae. Documentation of research activities shall include citations of journal articles and conference proceedings that appeared during the preceding calendar year; listings of other publications, and of presentations made during the subject year; and details of externally funded grants and contracts in force during the year, as well as annual research expenditures for the last few years. Contributions to teaching in the form of mentoring of students or curriculum development should be documented, along with a self-assessment by the faculty member of his/her teaching activities and philosophy. Professional service activities should also be included. The annual report will become a part of the faculty member's personnel file and will be an important part of the salary determination process.

Tenure track faculty members are also encouraged, at their option, to document their contributions in the area of teaching in the form of Teaching Files, as described in Appendix B, or other equivalent means of documentation. The Teaching File should be updated once every three

years and allows for a more comprehensive documentation of teaching performance. Clinical faculty members are required to document their contributions in the area of teaching and curriculum development using Teaching Files, or other equivalent means of documentation, as their performance in teaching and curriculum development is of primary importance.

6. MERIT SALARY INCREASES

Except when the university dictates any type of across the board salary increase, all funds for annual salary increases are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that salaries reflect the market and are internally equitable. On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to recognize non-continuing contributions that justify reward but do not justify permanent salary increases. Such payments/rewards are considered at the time of annual salary recommendations.

Meritorious performance in teaching, service, and research, are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past 24 or 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

Procedures for merit salary increases and other rewards for faculty are described below. Procedures for tenure track faculty with appointments of less than 100% in the Department of Mechanical and Aerospace Engineering are the same if the Department is the tenure-initiating unit, with the exception that in the case of joint appointments, the Department Chair will seek agreement from the Chair(s) of other department(s) which may be involved. Tenure track faculty for whom other departments serve as tenure-initiating units will be evaluated for merit salary increases and other rewards by their tenure-initiation units, with input from the Mechanical and Aerospace Engineering Department Chair as appropriate.

The Department Chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries while considering market and internal equity issues as appropriate.

6.1 CRITERIA

6.1.1 MERIT SALARY INCREASE CRITERIA FOR TENURE TRACK FACULTY

Merit salary recommendations will be based upon the balance of contributions to the graduate and undergraduate academic activities in the areas of teaching, service, and research/scholarship. The Chair may choose to emphasize the contributions of these areas differently toward determining the magnitude of the merit raise.

6.1.1.1 TEACHING

Merit increases will be considered in recognition of excellence in teaching. The diversity of teaching activities of each faculty member shall be taken into account. Among the factors to be considered are classroom performance, laboratory and project course supervision and teaching, program and course development, development of pedagogical materials, supervision of doctoral, masters' and honors undergraduate students, and related activities outside the classroom.

6.1.1.2 SERVICE

Merit increases will be considered in recognition of the strength of service to the Department, the University, and the engineering profession. Primary consideration will be given to service to the Department. In addition to administrative service and service on department and university committees, other meritorious service includes unusual or difficult special assignments, participation on national and international advisory committees, governing boards, and organization of conferences and workshops.

6.1.1.3 RESEARCH/SCHOLARSHIP

Merit increases will be considered in recognition of excellence in research/scholarship leading to significant publications. Among the factors to be considered are articles accepted by, or published in, refereed journals, invited or reviewed conference presentations, research grants, review papers, monographs, and seminar and colloquium presentations.

6.1.2 MERIT SALARY INCREASE CRITERIA FOR CLINICAL TRACK FACULTY

Merit increases will be considered in recognition of excellence in teaching, scholarly activities and strength of service to the Department. The diversity of teaching activities of each faculty member shall be taken into account. Among the factors to be considered are classroom performance, laboratory and project course supervision and teaching, course development, development of pedagogical materials and other practitioner-oriented scholarly activity, and student interaction and advising.

6.1.3 MERIT SALARY INCREASE CRITERIA FOR RESEARCH TRACK FACULTY

Merit increases will be considered in recognition of excellence in research. The diversity of research activities of each faculty member shall be taken into account. Among the factors to be considered are mentoring of graduate students, publications in high quality refereed journals, sponsored research funding, graduate student advising, and other scholarly activities. Performance in occasional graduate teaching in the research area of expertise or undergraduate teaching and mentoring may be taken into account, if applicable.

6.2 PROCEDURES

6.2.1 MERIT SALARY INCREASE PROCEDURES FOR TENURE TRACK FACULTY

Annual salary adjustments will be based upon merit as reflected in the yearly contributions of a faculty member to the academic activities of the Department in the areas of teaching, service, and research/scholarship. Performance assessment will be conditioned by performance over the past 24 or 36 months, with attention to patterns of increasing or declining productivity. Since the Department has major responsibilities for both graduate and undergraduate educational activities, individual faculty contributions to both areas are evaluated. For a given professional rank,

comparative norms of contributions in the areas of teaching, service, and research/scholarship are established by the Department Chair. Annual salary adjustments are based upon such comparative evaluations.

After reviewing the annual reports of the faculty members, other relevant documentation, and other pertinent information (equity and market factors, promotions, etc.), the Department Chair will make recommendations to the Dean regarding salary adjustments.

6.2.2 MERIT SALARY INCREASE PROCEDURES FOR CLINICAL TRACK FACULTY

Annual salary adjustments will be based upon merit as reflected in the yearly contributions of a faculty member to the academic activities of the Department in the areas of teaching, curriculum development, scholarship, and service to students. Performance assessment will be conditioned by performance over the past 24 or 36 months, with attention to patterns of increasing or declining productivity.

For a given clinical track faculty rank, comparative norms of contributions in the areas of teaching, practitioner-oriented scholarly activity, and service are established by the Department Chair. Annual salary adjustments are based upon such comparative evaluations. After reviewing the annual reports of the faculty members, other relevant documentation, and other pertinent information (equity and market factors, promotions, etc.), the Department Chair will make recommendations to the Dean regarding salary adjustments.

6.2.3 MERIT SALARY INCREASE PROCEDURES FOR RESEARCH TRACK FACULTY

Annual salary adjustments will be based upon merit as reflected in the yearly contributions of a faculty member to the research activities of the Department. Performance assessment will be conditioned by performance over the past 24 or 36 months, with attention to patterns of increasing or declining productivity. In order to help in evaluation and documentation of research performance, it is required that each research track faculty member maintain detailed documentation and records of all research contributions and scholarly activities in the form of annual reports as detailed in Sections 5.5 and 7.1.6. The sponsoring research group will also review the annual reports and provide the Department Chair with a written evaluation of the research faculty member, at the Chair's option and request.

For a given research faculty rank, comparative norms of contributions in the areas of research are established by the Department Chair. Annual salary adjustments are based upon such comparative evaluations. After reviewing the annual reports of the faculty members, other relevant documentation, and other pertinent information (equity and market factors, promotions, etc.), the Department Chair will make recommendations to the Dean regarding salary adjustments.

6.3 DOCUMENTATION

It is the responsibility of each faculty member to submit an annual report of his/her activities, as described in Section 5.5. Faculty will also be invited to provide in writing any additional information relevant to salary adjustments. In all cases, it is the responsibility of the faculty member to see that his/her professional achievements are brought to the attention of the Department Chair.

7. REVIEWS FOR PROMOTION AND/OR TENURE

7.1 CRITERIA

7.1.1 GENERAL CRITERIA FOR PROMOTION AND/OR TENURE

The Department of Mechanical and Aerospace Engineering hereby establishes general criteria for promotion and tenure, which are intended to promote the following attributes in terms of faculty performance:

- Excellence in teaching,
- Excellence in scholarship,
- Effectiveness of service to the academic and professional communities and society, thereby demonstrating commitment to citizenship and collegiality in the fulfillment of one's responsibilities to students and colleagues.

Excellence in teaching, research, and service are moreover defined to include professional ethical conduct in each area of responsibility, see AAUP Statement on Professional Ethics, <http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>.

Criteria are enumerated below for each of the areas of teaching, scholarship, and service. The measures of quality/effectiveness which will be used for evaluation, as well as the manner of documentation of performance, are described in Section 7.3. Though the evaluation of faculty performance shall consider the different aspects enumerated above, it is not our intent to consider performance in any of these areas without regard to its relationship to performance in the others. The integration of different aspects of faculty performance to maximize the impact on the mission of the department and the institution is highly valued, as is balance between contributions in the different areas. For instance, the forging of synergistic links between creative scholarship and effective teaching strengthens both activities, and is consistent with the unique status of The Ohio State University as the premier research institution, as well as the land grant institution in the state of Ohio.

We expect also that the balance between contributions in the different areas will vary between different tenure track faculty members, given the differences in opportunity and need in the different areas of research and instruction in mechanical, aerospace, and nuclear engineering. Evaluation of tenure track faculty performance for purposes of tenure and/or promotion shall, therefore, reflect this awareness.

We note as well that the criteria for promotion of clinical and research faculty members are distinct from those for tenure track faculty members and from each other. The criteria for clinical faculty members primarily emphasize teaching in areas of the curriculum closely linked to professional practice and scholarly activities related to professional practice, whereas those for research faculty members primarily emphasize research and scholarship.

7.1.1.1 TEACHING

Each tenure track faculty member is expected to teach courses at both the undergraduate and graduate levels. Differences among the different technical areas of the department, departmental needs, scheduling matters, enrollment considerations, and other factors are expected to impact the degree of diversity represented in the candidate faculty member's teaching history. Since some of these factors may lie beyond the candidate's control, the candidate's teaching record should exhibit variety subject to these constraints.

The successful tenure track faculty candidate for promotion and/or tenure is expected to demonstrate excellence as a teacher in terms of:

- Teaching of undergraduate and graduate courses,
- Mentoring of graduate and undergraduate students in research, and academic advising of students,
- Curriculum development, including course and lab development, and
- Involvement in graduate exams, theses, and dissertations, in a capacity other than that of advisor.

The successful clinical faculty candidate for promotion is expected to demonstrate excellence as a teacher in terms of:

- Teaching of undergraduate and graduate courses emphasizing professional practice, and
- Curriculum development, including course and lab development.

Evidence of commitment to teaching, and effectiveness as a teacher, should be presented. Student and peer evaluations of teaching are the primary measures used for evaluation of teaching performance for all tenure track and clinical faculty. Appropriate documentation of teaching activities is required and is described in Section 7.3.1 and Appendix B.

7.1.1.2 RESEARCH/SCHOLARSHIP

The successful tenure track faculty candidate for promotion and/or tenure, and the successful research track faculty candidate for promotion, are expected to:

- conduct scholarly research,
- disseminate the research findings and knowledge produced, by contributing to the technical literature, including patenting and commercialization of inventions
- attract external funding to support the conduct of the research, and
- involve graduate students in the research activities, including the mentoring of graduate students toward the completion of their dissertations and post-graduate placement

Candidates for promotion at either level must provide clear and compelling evidence that they are building and/or maintaining an active, productive research program, and can be expected to continue to do so. The conduct of the research may involve the candidate and his/her graduate students primarily, or significant collaboration with other researchers. In either case, the record must clearly indicate the nature of the candidate's research contributions and his/her scholastic identity. Evidence of accomplishments must be presented which demonstrates the candidate's development of a national/international stature in his/her area of research. Evaluation of the candidate's research/scholarship accomplishments will primarily be based on his/her publication and funding records, including generation of intellectual property, and the external peer evaluation letters, which are elaborated upon in Sections 7.2.5, and 7.3.2.3.

The notion of scholarship is more broadly defined for evaluating this aspect of the performance of clinical faculty. For such cases, scholarship is defined to include the application and advancement of a body of knowledge via activities other than those noted above. The scholarship of learning and teaching is one such activity. Others include development of new methodologies for teaching including approaches to broadening engineering education, development of novel product and/or system designs and design methodologies, and creative engineering activities as evidenced by patent applications and competitive professional awards.

7.1.1.3 SERVICE

The successful tenure track faculty candidate for promotion and/or tenure, and the successful clinical/research track faculty candidate for promotion, are expected to demonstrate a history of effective service, which in addition to service to the Department may include:

- The college, and university communities,
- Student groups and organizations,
- Professional societies, and organizations such as funding agencies, and
- Other public and private entities beyond the University.

Appropriate documentation of service activities is required, using the measures described in Section 7.3.3. The faculty candidate's attitude and professional conduct in the discharge of her or his duties is of importance and demonstrates a commitment to citizenship and collegiality, as noted in Section 7.3.3. From a somewhat broader perspective, members of the Mechanical and Aerospace Engineering faculty are expected to adhere to the American Society of Mechanical Engineers (ASME), and/or the American Institute of Aeronautics and Astronautics, and/or the American Nuclear Society (ANS) Code of Ethics.P

VII PROMOTION AND TENURE AND PROMOTION REVIEWS

A CRITERIA

Faculty Rule{ XE "Rules of the University Faculty" } 3335-6-02 (<http://trustees.osu.edu>) provides the following context for promotion and tenure and promotion reviews:

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

7.1.2 CRITERIA FOR PROMOTION TO ASSOCIATE PROFESSOR WITH TENURE

This section describes requirements, in addition to those in Section 7.1.1, which are specific to promotion to Associate Professor with tenure. The essence of these requirements is that the candidate's performance should provide compelling evidence that he/she will continue to develop professionally, and can be expected to bring credit to The Ohio State University in the future. Faculty Rule 3335-6-02, (<http://trustees.osu.edu/university/facultyrules>), provides the following general criteria for promotion to associate professor with tenure: “The awarding of tenure and promotion

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

7.1.2.1. TEACHING

The general aspects of teaching effectiveness, as well as measures for evaluation, are described in Section 7.1.1.1. Expectations specific to promotion at this level with tenure are discussed here.

Classroom teaching by the candidate should show evidence of commitment to teaching and development as an effective instructor. This may be in the form of good student/peer evaluations and/or a clear trend of consistent improvements in classroom performance. The candidate is expected to have taught both undergraduate and graduate courses.

The candidate is expected to show evidence of development as an effective mentor of graduate and undergraduate students in research. It is expected that there will be a transient period when the candidate establishes the necessary facilities to support his/her research, establishes his/her identity among graduate students, and attracts student researchers. It is expected that the candidate would have guided several M.S. students to the completion of their theses, and that he/she would have some Ph.D. students well along in their programs of study. It is also expected that the candidate would be serving, or have served in, a number of thesis/examination committees for graduate students advised by other faculty members, especially in the area of the candidate’s research interest.

While there are no specific requirements in the area of curriculum development, candidate contributions that would be valued include the introduction/modification of graduate courses in the area of the candidate’s research interests, and enhancement/revisions of undergraduate courses/laboratories as part of an overall plan of curriculum revision.

7.1.2.2. RESEARCH/SCHOLARSHIP

While general expectations are elaborated earlier in Section 7.1.1.2, some aspects specific to promotion at this level with tenure are discussed in this section. The successful candidate is expected to present the evidence of the following characteristics for a well-developed research program: the clear establishment of a research identity; the demonstrated ability to develop graduate students as apprentice researchers and to advise them effectively through the program; the ability to identify and secure funding at some reasonable level to support these research activities; and consistency. There must be clear and compelling evidence that the candidate has actively undertaken the building of a research program and will continue to build and maintain that program for the foreseeable future.

The quality and to a lesser extent, quantity of scientific publications in refereed archival journals will be considered in the evaluation. The quality of the contribution will be regarded highly, while the quality of the journal will be considered as a factor. For a variety of reasons, it is difficult to define a specific number of expected archival publications that would be deemed satisfactory. Yet, the successful candidate is clearly expected to have more than several publications at this level. It is both expected and appropriate that the candidate will include publications co-authored with the doctoral advisor. However, some of the archival publications should be authored by the candidate with his/her own research team members, including graduate students. It is also anticipated that the candidate will collaborate with faculty within the department or within the college or within the university or individuals outside the university while engaging

in collaborative research. Such scholarly output arising from collaborative research will be valued equally along with individual scholarly contributions. Other evidence of scholarly contributions may include patents and disclosures, where the significance of the contributions will be evaluated based upon whether or not invention disclosures to the university result in the actual filing or provisional patents, followed by the filing of utility patents, followed by the issuing of the patent by the US Patent Office or equivalent foreign entity, and licensing and/or commercialization of the invention.

It is natural that there will be an initial period following the hire during which the candidate builds student interest in his/her work, acquires and develops graduate student researchers, builds a laboratory, and the like. It is also clear that the significance and duration of this initial period is a function of the number of colleagues and the degree of infrastructure in place to support and assist the candidate, according to the research area, upon arrival. Moreover, there is a marked variation in the delay of the peer review process from one journal (or one area) to another. However, once a reasonable period of adjustment is past, the research program of the candidate should begin to produce in a fairly steady manner.

For successful promotion to associate professor with tenure, the Department must be confident that an appropriate scholarly level of performance on the part of the candidate can reasonably be expected to continue. This confidence will derive from such factors as the nature and extent of work in progress, number and status of graduate students under the candidate's direction, funding in place and proposals submitted, and papers accepted and under review. The candidate's own plans for future research directions should also be clear and feasible.

7.1.2.3. SERVICE

The well-rounded member of the faculty of a premier institution such as The Ohio State University is expected to assume a leadership role in his/her research community and its professional activities. While it is understood that junior members of the faculty must wait their turn for some of the responsibilities, the Department does expect to see the evidence of high quality contributions to department administration and to other areas as defined by the department; and the candidate's involvement on the national level. Thus, the evaluation of service will encompass administrative and committee service within the university, as well as professional society activities that utilize the candidate's expertise.

The successful candidate is anticipated to be a colleague for the rest of the careers of the faculty members in the department. It is therefore necessary that the faculty member carries out his or her teaching, research, and service activities in a manner that instills in the faculty a high degree of confidence in terms of expectations for positive future working relationships. The candidate's professional conduct in the performance of his/her duties will be evaluated in this context.

7.1.3 CRITERIA FOR PROMOTION TO TENURED PROFESSOR

This section describes requirements, in addition to those in Section 7.1.1, which are specific to promotion to the rank of tenured Professor. Faculty rule 3335-6-02, (<http://trustees.osu.edu/university/facultyrules>) 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.” The specific criteria in teaching, research, and service for promotion to professor are thus similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national and international reputation in the field.

7.1.3.1 TEACHING

The general aspects of teaching effectiveness, as well as measures for evaluation, are described in Section 7.1.1.1. For promotion to tenured Professor, the candidate should demonstrate excellence in teaching, as documented by student and peer evaluations. The candidate is expected to have a record commensurate with the duration of his/her employment, with particular emphasis on the period since the last promotion. The candidate is expected to have:

- A record of consistently (as measured over a period of several years) effective classroom teaching of undergraduate and graduate courses, with particular emphasis on the preceding five years. Measures of quality, which may be used to demonstrate excellence, are the successful use of innovative techniques or third-party evaluations of classroom performance to improve teaching effectiveness, teaching awards for classroom instruction, and variety of courses taught.
- A record of effective mentoring of graduate and undergraduate students in research. The candidate shall have graduated at least some Ph.D. students, and usually, a greater number of M.S. students. Consistency in the area of mentoring students over the period of interest is important, a steady stream of students being indicative of a continuing and sustained effort. It is also expected that, at the time of consideration for promotion, the candidate will have a number of Ph.D. and M.S. students at various stages of their programs of study. Mentoring these students to successful post-graduation placement in leadership positions in industry, national laboratories or academic positions is also expected.
- A record of significant contributions in the area of curriculum development, in the form of development and/or modifications of courses and labs.
- A record of meaningful and consistent involvement in graduate exams, theses, and dissertations, in a capacity other than that of advisor.

7.1.3.2 RESEARCH/SCHOLARSHIP

While general expectations are elaborated upon in Section 7.1.1.2, some aspects specific to promotion to tenured Professor are discussed in this section. The candidate should demonstrate, over the duration of his/her research career, excellence in research/scholarship, as documented by external peer evaluations, the publication record, and funding history. The candidate is expected to have:

- A record of acknowledged excellence in the conduct of scholarly research. The excellence of the candidate's research efforts and scholastic accomplishments must be recognized nationally or internationally by acknowledged scholars in his or her area. Such a record is usually accompanied by a coherent research program which has produced important results relating to one or a few central research issues of acknowledged significance in the academic community. Furthermore, consistency of the research effort is important as well, and it is expected that the candidate maintains an active research program at the time of consideration for promotion.
- A record of consistency and excellence in contributions to the technical literature, especially during the period after the last promotion. The candidate shall have produced a significant body of publications in refereed journals, particularly in high quality archival journals appropriate to the research area, refereed conference proceedings, book chapters and other forms. Other measures of the quality that may be used include invited talks and research seminars given by the candidate. It is difficult to place absolute numerical requirements on the publication record, given the wide variability in acceptance rates, prestige and visibility within journals and other publications. However, it is essential that the publication record be commensurate with a sustained record of research, and dissemination of research results, over the duration of the candidate's research career. The publication record in archival journals is of primary importance for promotion to Professor.
- A record of excellence in involving graduate students in research. This aspect of research/scholarship overlaps with the mentoring aspect of the candidate's teaching performance, which has been described previously in the document. In addition to the comments relating to graduation of Ph.D. and M.S. students as part of such mentoring, it is expected that the candidate will have co-authored a number of publications with his/her graduate students, and that he/she will have facilitated research presentations by graduate students at technical conferences. Awards and honors secured by graduate students, such as best paper/presentation awards and university/national fellowships based on research progress and results, reflect positively upon the candidate's involvement of graduate students in research, and will be so treated. Also, honors and fellowships awarded to Ph.D. students after graduation, as well as placement at prestigious institutions, will be similarly treated.
- A record of sustained funding at a reasonable level to support the research activities of the candidate. Each faculty member is expected to create and maintain an externally supported research program. The funding history of the candidate, including the seeking of the funding, should be consistent with this requirement, especially for the period since the last promotion.

In addition to demonstrating a record of excellence in the different areas of research/scholarship, the candidate should provide evidence of ongoing research activity in the form of papers in review for publication, continuing grants/contracts, submitted proposals, and Ph.D./M.S. students at different stages in their programs of study.

7.1.3.3 SERVICE

For promotion to tenured Professor, the candidate faculty member is expected to have compiled a record of effective service, as described below. In the process of doing so, the candidate shall have demonstrated responsible departmental citizenship and collegiality:

- A record of effective service to the department particularly involving leadership roles is primarily expected. The candidate's service in departmental committees in leadership roles is anticipated. Service to the department may also take the form of faculty advising of student groups and organizations by the candidate. It is expected and natural that candidates for promotion at this level would have had significantly more opportunities for service to the college and university, and would have availed of such opportunities. A record of effective service to the college and university are also expected of the successful candidate.
- A record of effective service to professional societies, and organizations such as funding agencies, often in leadership roles. Such service may take the form of editorships of prestigious journals, conference proceedings, and symposium proceedings; organization and/or chairing of sessions at technical conferences or workshops; technical committee chairmanships in societies; service as reviewer of technical proposals for governmental funding agencies, and as reviewer of conference and journal papers.
- External consulting activities
- Demonstration of engineering practice through summer faculty fellowship programs or other experiences with industry or national labs.
- Advising of student organizations and student project teams

7.1.4 CRITERIA FOR PROMOTION AND/OR TENURE OF FACULTY AT A REGIONAL CAMPUS

The Department of Mechanical and Aerospace Engineering does not have faculty at regional campuses.

7.1.5 CRITERIA FOR PROMOTION OF CLINICAL TRACK FACULTY TO NEXT LEVEL

7.1.5.1 CRITERIA FOR PROMOTION TO ASSOCIATE PROFESSOR OF PRACTICE

The teaching and service criteria for promotion from Assistant Professor of Practice to Associate Professor of Practice shall be different than the corresponding criteria for promotion to Associate Professor with tenure in the Department of Mechanical and Aerospace Engineering, as described in Sections 7.1.1.1, 7.1.1.3, 7.1.2.1, and 7.1.2.3, the emphasis to promotion to Associate Professors of Practice shall be primarily centered on contributions in teaching. Further, the department recognizes that Professors of Practice may wish to contribute to the department and their discipline in a variety of ways which may differ from one candidate to another.

In addition to documentation of their teaching via a teaching portfolio, as described in Section 7.3.1.3, and a compilation of their internal service to the department, clinical faculty will work with the Department Chair at the annual reviews to identify additional contributions to the department and ways stay current with their chosen discipline. By their nature, these measures will not apply to all clinical faculty, nor are clinical faculty expected to address every item on this list. This list is not comprehensive but is intended to provide examples of appropriate activities.

- Additional teaching activities such as:
 - Authorship of textbooks, where wide use of such texts implying a significant measure of positive peer recognition.

- Grants for teaching and course development, especially if they involve significant peer evaluation
- Mentoring of other teachers by providing guidance, sharing notes, etc.
- Curriculum development, including course and lab development. Contributions in this area are not limited to individual courses, as would be described in the teaching portfolio, but would reflect curriculum-wide changes. In depth material and rationale should be provided.
- Participation in the Course Design Institute from the University Center for the Advancement of Teaching to update and/or introduce a new course.
- The earning of an “endorsement” from the University Institute of Teaching
- Conference activities related to teaching
- Publications in ASEE Prism, ASEE Journal of Engineering Education, or other appropriate journals
- Teaching awards for classroom instruction.
- Notable research activity such as:
 - Advising undergraduate research and undergraduate honors theses
 - Advising on Masters Theses
 - Advising on PhD dissertation committees and candidacy exams
 - Meaningful involvement in graduate exams, theses, and dissertations, in capacity other than that of advisor. Meaningful involvement implies that the faculty member provides appropriate guidance to the graduate students involved, by sharing his/her expertise and perspective.
 - Serving as PI, co-PI, or co-I on sponsored research projects
- External consulting activities
- Demonstration of engineering practice through summer faculty fellowship programs or other experiences with industry or national labs.
- Advising of student organizations and student project teams
- Letters from alumni that comment on the quality of the instruction and value of the material provided to them by the faculty member

While the primary expectation of faculty of practice is teaching and service, the department recognizes that individuals may be engaged in research and other scholarly activities as well. These research activities will be recognized, evaluated, and considered as described in Section 7.1.2.2.

7.1.5.2 CRITERIA FOR PROMOTION TO PROFESSOR OF PRACTICE

The teaching and service criteria for promotion from Associate Professor of Practice to Professor of Practice shall be different than the corresponding criteria for promotion to Professor with tenure in the Department of Mechanical and Aerospace Engineering, as described in Sections 7.1.1.1, 7.1.1.3, 7.1.2.1, and 7.1.2.3, Whereas tenure-track faculty are evaluated on the basis of contributions in research, teaching, and service, the emphasis to promotion to Professors of Practice shall be primarily centered on contributions in teaching. Further, the department recognizes that Professors of Practice may wish to contribute to the department and their discipline in a variety of ways which may differ from one candidate to another, as described previous in section 7.1.5.1. While the primary expectation of faculty of practice is teaching and service, the department recognizes that individuals may be engaged in research and other scholarly activities

as well. These research activities will be recognized, evaluated, and considered as described in Section 7.1.2.2.

7.1.6 CRITERIA FOR PROMOTION OF RESEARCH TRACK FACULTY TO NEXT LEVEL

7.1.6.1 CRITERIA FOR PROMOTION TO ASSOCIATE RESEARCH PROFESSOR

The criteria for promotion from Assistant Research Professor to Associate Research Professor shall be qualitatively similar to the scholarship/research and service criteria for promotion to Associate Professor with tenure in the Department of Mechanical and Aerospace Engineering, as described in Sections 7.1.1.2 and 7.1.2.2. The expectation in service contributions is that external service will be emphasized. Also, since there are no teaching expectations of research faculty, the expectations on contributions in scholarship/research shall be appropriately adjusted.

7.1.6.2 CRITERIA FOR PROMOTION TO FULL RESEARCH PROFESSOR

The criteria for promotion from Associate Research Professor to Research Professor shall be qualitatively similar to the scholarship/research criteria for promotion to tenured Professor in the Department of Mechanical and Aerospace Engineering, as described in Sections 7.1.1.2 and 7.1.3.2. The expectation in service contributions is that external service will be emphasized. Also, since there are no teaching expectations of research track faculty, the expectations on contributions in scholarship/research shall be appropriately adjusted.

7.2 PROCEDURES FOR PROMOTION AND/OR TENURE

The department{ XE "department" }'s procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule{ XE "Rules of the University Faculty" } 3335-6-04, (<http://trustees.osu.edu/university/facultyrules>) 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 tracks in the department.

7.2.1 CANDIDATE RESPONSIBILITIES

Candidates are responsible for submitting a complete, accurate dossier{ XE "dossier" } fully consistent with Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } guidelines. 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{ XE "core dossier" } outline including, but not limited to, those highlighted on the checklist.

If external evaluation{ XE "external evaluation" }s are required candidates are responsible for reviewing the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, and is not obliged to provide any reasons for the request.

- To submit a copy of the department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.

In order to help in evaluation and documentation of teaching performance of clinical faculty, it is required that they develop and maintain Teaching Files as described in Appendix B, or other equivalent means of documentation.

7.2.2 RESPONSIBILITIES OF THE PROMOTION AND TENURE COMMITTEE AND OF THE PROMOTION COMMITTEES FOR CLINICAL AND RESEARCH TRACK FACULTY

The responsibilities of the Promotion and Tenure Committee are as follows:

- To consider, in the spring term, records of probationary tenure track faculty members completing their third year of service and to provide feedback to the faculty members on their teaching, research, and service, as described in Section 5.1
- To conduct the fourth year reviews of probationary tenure track faculty members, as described in Section 5.1
- To consider, in the spring term, records of other tenure track faculty members and evaluate the appropriateness of a non-mandatory review in the following academic year. The committee bases its decision on assessment of the record as presented in the faculty member's CV{ XE "curriculum vitae (CV)" } and on a determination of the availability of all required documentation for a full review. Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review{ XE "non-mandatory review" }{ XE "mandatory review" }.
- To consider, in the spring term, records of tenured Associate Professors, Associate Professors of Practice, and Research Associate Professors, and evaluate them for promotion for the following academic year.
- Consistent with Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the department{ XE "department" } chair{ XE "chair, director" } that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident.
- A decision by the P&T committee to permit a review to take place in no way commits the eligible faculty, the department{ XE "department" } chair{ XE "chair, director" }, or any other party to the review to making a positive recommendation during the review itself.
- A tenured faculty{ XE "tenured faculty" } member who requests and is denied a promotion review in any given year based on the P&T committee's assessment of the candidate's accomplishments, must be granted the review in the following year per Faculty Rule{ XE "Rules of the University Faculty" } 3335-6-04, (<http://trustees.osu.edu/university/facultyrules>). The P&T committee may not deny a tenured faculty member a formal review for promotion more than one year.
- Annually, in early spring through early autumn term, to provide administrative support for the promotion and tenure review process as described below.

- Early Spring: The Committee is responsible as well for the arrangement of classroom visits for peer evaluation of classroom teaching, as described in Section 7.5.6.
- Late Spring: Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee (POD) cannot be the same individual who chairs the committee. Alternatively, the Associate Chair for Administration may serve as the POD. The POD's responsibilities are described in the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } annual procedural guidelines.
- Late Spring: Suggest names of external evaluators to the department{ XE "department" } chair{ XE "chair, director" }. The P&T Committee, working with the Chair, is responsible for soliciting and collecting letters of evaluation from outside the university, as is required by the review procedure and as described in Section 7.3.2.3.
- Early Autumn: Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } requirements; and work with candidates to assure that needed revisions are made in the dossier{ XE "dossier" } before the formal review process begins.
- Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier{ XE "dossier" }. This meeting is not an occasion to debate the candidate's record.
- Draft an analysis of the candidate's performance in teaching{ XE "teaching" }, research{ XE "research, scholarship" } and service{ XE "service" } to provide to the full eligible faculty with the dossier{ XE "dossier" }; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
- Revise the draft analysis of each case following the faculty meeting{ XE "faculty meeting" }, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department{ XE "department" } chair{ XE "chair, director" }.
- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier{ XE "dossier" }.
- Provide a written evaluation and recommendation to the department{ XE "department" } chair{ XE "chair, director" } in the case of joint appointees whose tenure initiating unit{ XE "tenure initiating unit (TIU)" } is another department. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure initiating unit substantially earlier than the Committee begins meeting on this department's cases.
- The chair of the P&T Committee is appointed by the Department Chair, and serves as chair of the meetings of the eligible faculty held to discuss promotion and tenure cases.
- The procedures described above are modified appropriately for consideration of research and clinical track faculty for promotion to reflect differences in performance expectations, with the appropriate Promotion Committee playing the role of the P&T Committee.

7.2.3 ELIGIBLE FACULTY RESPONSIBILITIES

The responsibilities of the members of the eligible faculty are as follows:

- To review thoroughly and objectively every candidate's dossier{ XE "dossier" } in advance of the meeting at which the candidate's case will be discussed.
- To attend all eligible faculty meetings except when on leave, when circumstances beyond one's control prevent attendance, or when recused because of a conflict of interest; to participate in discussion of every case; and to vote.

7.2.4 DEPARTMENT CHAIR RESPONSIBILITIES

In order to help in evaluations of teaching performance in cases where it is documented by teaching files, the Department Chair may periodically appoint a teaching evaluation panel. This panel cannot be composed of non-faculty members. However, as an additional input to the P&T process, the Chair could convene (prior to the commencement of the P&T process) a panel composed of department faculty members, students, alumni and external academics to review the teaching files and issue brief summary reports on the faculty members which could serve as additional input to the Promotion and Tenure Committee prior to that committee's deliberations. A recommended panel membership could be as follows:

- One or more faculty members from the department, one of whom will serve as chair of the panel.
- One or more alumni employed in industry, who received their BS from the department at OSU and graduated between 5 and 10 years prior to their panel service.
- One peer from the academy, who may be an engineering emeritus faculty member, a current faculty member from outside the department, a Ph.D. alumnus, or other current faculty member with teaching expertise.
- One representative from the University Center for the Advancement of Teaching at OSU
- One or more student representatives from the student honorary for the program and/or the student section of one of the professional societies associated with programs in the department.

The responsibilities of the department{ XE "department" } chair, more generally,{ XE "chair, director" } are as follows:

- Where relevant, to verify the prospective candidate's residency status{ XE "residency status" }. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review{ XE "non-mandatory review" } for tenure, and tenure will not be awarded as the result of a mandatory review{ XE "mandatory review" } until permanent residency{ XE "permanent residency" } status is established.
- Late Spring Term: To solicit external evaluation{ XE "external evaluation" }s from a list including names suggested by the Promotion and Tenure Committee, the chair{ XE "chair, director" } and the candidate. Also see Section 7.5.5: "Selection of External Evaluations" below.
- To make copies of each candidate's dossier{ XE "dossier" } available and accessible for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest{ XE "conflict of interest" } but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.

- Mid-Autumn Term: To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with 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{ XE "department" } review process:
 - of the recommendations by the eligible faculty and department{ XE "department" } chair,{ XE "chair, director" }
 - of the availability for review of the written evaluations by the eligible faculty and department{ XE "department" } chair, and{ XE "chair, director" }
 - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department{ XE "department" } chair{ XE "chair, director" }, for inclusion in the dossier{ XE "dossier" }. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrants response for inclusion in the dossier{ XE "dossier" }.
- To forward the completed dossier{ XE "dossier" } to the college office by that office's deadline, except in the case of auxiliary faculty{ XE "auxiliary faculty" } for whom the department{ XE "department" } chair{ XE "chair, director" } recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating unit{ XE "tenure initiating unit (TIU)" }s, and to forward this material, along with the department{ XE "department" } chair{ XE "chair, director" }'s independent written evaluation and recommendation, to the department chair of the other tenure initiating unit by the date requested.
- To communicate results of higher level reviews as informed by the Dean.

7.2.5 SELECTION OF EXTERNAL REFERENCES

External evaluations of research{ XE "research, scholarship" } and scholarly activity are obtained for all promotion reviews in which research and scholarly work must be assessed. These include all tenure track promotion and tenure or promotion reviews, all research contract renewal{ XE "renewal" } and promotion reviews, and all adjunct faculty promotion reviews. External evaluations for clinical faculty may be satisfied by soliciting evaluations from qualified faculty members outside the department and could be within the college or university. Recognized authorities in the candidate's area of research and/or scholarly activities, at other peer institutions, will be asked to evaluate the quality of the candidate's scholarly activities. Peer institutions include peer universities, national laboratories, and reputable industrial research organizations. For the evaluations of scholarly contributions of clinical faculty, peer evaluators may include persons from reputable industrial organizations who are well-versed in the scholarship of teaching and learning and in the practice of the profession. It is essential that the credentials of the external references be outstanding, and that they have deep appreciation of the criteria used by major universities in evaluating research and scholarly contributions of faculty. Further, external reviewers must have no closer than an arm's length relationship with the candidate. They may not be former advisors,

collaborators, post-doctoral supervisors, close personal friends, or others having a relationship with the candidate that could reduce objectivity.

The P&T Committee, or the Promotion Committee for clinical and research faculty, shall compile a list of five or more external referees. The committee may solicit the input of the Chair and other faculty in compiling this list. The candidate is then shown the list compiled by the appropriate review committee (P&T Committee or Promotion Committee), and indicate if he/she has objections to any of the persons named in that list. The candidate may object to up to two of the names on the review committee's list, which are then removed. If there are objections, additional names are provided by the review committee to ensure that there are five or more names in its list at the end of this process. The candidate shall then compile a list of three external referees.

7.2.6 CLASSROOM VISITS FOR PEER EVALUATION OF TEACHING

Classroom visits shall be used to evaluate the quality of the teaching of candidate tenure track or clinical faculty members, at the time of promotion and/or tenure. Student evaluations of classroom instruction will be supplemented by multiple classroom visits (at least two) to the candidate's classes, in the terms preceding the candidate's promotion/tenure review process, fourth-year review process, or contract renewal evaluation process. The visit(s) will be conducted by departmental faculty who are familiar with the courses involved, at the request of the P&T Committee, or Promotion Committee for clinical faculty. The candidate will be consulted on the scheduling of the visits. Visiting faculty members shall document their evaluation of the candidate's classroom teaching, using the evaluation form included as Appendix C, and supplementing it by additional written comments submitted to the appropriate review committee (P&T Committee or Promotion Committee for clinical track faculty), if necessary.

7.2.7 DEPARTMENTAL REVIEW PROCEDURES

The procedures to be followed for the consideration of tenure track faculty candidates for promotion and/or tenure at the Associate Professor level, and for promotion to tenured Full Professor are similar and are outlined below. The evaluation criteria and expectations are described in Sections 7.1. The review committee for these cases is the P&T Committee.

The procedures to be followed for the consideration of clinical faculty candidates for promotion to Associate Professor of Practice, and for promotion to Professor of Practice, are similar to the procedures for tenure track faculty candidates, except for the differences noted below. The review committee for these cases is the Promotion Committee for clinical track faculty. The evaluation criteria and expectations are described in Sections 7.4.1 and 7.4.2.

The procedures to be followed for the consideration of research faculty candidates for promotion to Associate Research Professor, and for promotion to Research Professor, are similar to the procedures for tenure track faculty candidates, except for the differences noted below. The review committee for these cases is the Promotion Committee for research faculty and research scientists. The evaluation criteria and expectations are described in Sections 7.1.5.1 and 7.1.5.2.

During the spring term of each year, the P&T Committee will review the performance of tenure track faculty members with respect to their teaching, research, and service, for purposes of promotion and tenure consideration. In the same time frame, the Promotion Committee for clinical track faculty and the Promotion Committee for research faculty, described in Sections 3.1.2 and 3.1.3, will review the performance of the appropriate categories of faculty members for purposes of promotion. The Department Chair may suggest candidate faculty members whose record warrants closer scrutiny for promotion and/or tenure consideration, and the Committees may choose to look at other candidate faculty members as well. Past annual reports from the faculty

members, as well as their updated curriculum vitae, shall be used for this purpose. Student evaluations of teaching shall also be used, as well as the Teaching File and its evaluation by the Teaching Evaluation Panel, if available for the faculty member. The P&T committee and the Promotion Committee(s) shall recommend to the Chair that the faculty members under review either be considered or not considered for promotion and/or tenure the following academic year. For those faculty members not considered for promotion and/or tenure the following academic year, the committee shall provide constructive feedback to the faculty members concerned, with the active involvement of the Chair. In case any of the three committees is unable to reach a clear consensus on a faculty member being reviewed by the committee, the Chair may call for a meeting of the faculty eligible to vote on the issue, to provide additional input before proceeding further.

For those faculty members to be considered for promotion and/or tenure, complete dossiers will be compiled by the beginning of the autumn term, following the format of the Core Dossier specified by OAA (see <http://oaa.osu.edu/handbook> for current version). The candidates are responsible for the compilation of the dossiers, with assistance from the P&T Committee or the Promotion Committees as needed.

External evaluation of each faculty candidate's scholarly work will be requested from authorities in his/her field of expertise. The P&T Committee, or the appropriate Promotion Committee, will select the external references from lists compiled by the committee and the candidate, as described in Section 7.3.2.3. The completed dossier should contain at least five letters from external references, with more than half of these letters being from persons named by the P&T Committee (or Promotion Committee) and the Chair. The P&T Committee and Promotion Committee should solicit letters from appropriate numbers of references from the two lists, to ensure this result. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule{ XE "Rules of the University Faculty" } 3335-6-04, (<http://trustees.osu.edu/university/facultyrules>) requires that no more than half the external evaluation{ XE "external evaluation" } letters in the dossier{ XE "dossier" } be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } nor this department requires that the dossier contain letters from evaluators suggested by the candidate. Sample letters, to be used for requesting external evaluations of the candidate's research, are attached as Appendix D.

Under no circumstances may a candidate solicit external evaluation{ XE "external evaluation" }s 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{ XE "department" } chair{ XE "chair, director" }, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } to exclude that letter from the dossier{ XE "dossier" }). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

All solicited external evaluation{ XE "external evaluation" } letters that are received must be included in the dossier{ XE "dossier" }. If concerns arise about any of the letters received, these concerns may be addressed in the department{ XE "department" }'s written evaluations or brought to the attention of the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } for advice.

Peer evaluation of the tenure track and clinical track candidate's classroom teaching is based on the completed evaluation forms (Appendix C) used by faculty members for classroom visits, as well as additional comments provided by them. All of the completed evaluation forms, as well as the additional comments provided, shall be included in the dossier. The Teaching Files and their assessment by a Teaching Evaluation Panel, or other equivalent documentation of teaching performance, shall be included for clinical faculty, and may be included if available for tenure track faculty members.

The candidate's dossier, including his/her statement of research and teaching accomplishments, as appropriate, will be reviewed. At the conclusion of this evaluation, the P&T Committee (or the appropriate Promotion Committee) will draft a document to accompany the candidate's dossier during its consideration by the eligible faculty of the Department. This document shall assess the candidate's performance and record in the areas of teaching, research/scholarship, and service.

All the candidates are next considered by all the eligible faculty of the Department for the case under consideration, as defined in Section 3.1. A meeting of all eligible faculty, chaired by the P&T Committee Chair (or Promotion Committee Chair), will be held with open discussion of each candidate. Prior to this meeting, the candidate's complete dossier will be available for review by the eligible faculty. The P&T Committee or appropriate Promotion Committee shall prepare a written report on the candidate discussing the qualifications of the candidate and reflecting the faculty discussion. This report shall accurately characterize the views of the eligible faculty as articulated at this meeting, and will serve as the report of the eligible faculty on the candidate.

The P&T Committee or appropriate Promotion Committee shall conduct a vote of all eligible faculty concerning the promotion and/or tenure for each candidate, by secret ballot. The Office of Academic Affairs has emphasized the need to ensure that faculty votes on major policies such as tenure and promotion represent views of faculty who participated in a very real sense in the process of deliberation that is expected to precede the voting. Voting rights on promotion and tenure issues will therefore be restricted to eligible faculty members who meet this requirement or faculty members who are on travel and participate in the meeting via conference call.

The Committee will forward the report of the eligible faculty, and the recommendation of the eligible faculty as indicated by the results of their vote, to the Department Chair. For the ballot to be considered valid, it must involve voting by three-fourths of the eligible faculty. A majority of two-thirds of the faculty casting votes affirmatively on the case would be considered a positive outcome. The Department Chair shall then prepare a separate letter assessing each candidate's performance, and recommending either for or against promotion and/or tenure. The Department Chair will report in this letter the number of votes cast in favor of the promotion and/or tenure, and the number against. The vote and report of the eligible faculty members act as recommendations to the Department Chair. If the Chair's decision is in disagreement with that of the eligible faculty, he/she will discuss his/her reasoning with the group.

Consistent with Chapter 3335-6 of the Faculty Rules (<http://trustees.osu.edu/university/facultyrules>), as soon as the report of the eligible faculty and the Chair's letter are completed, the candidate should be notified in writing of the completion of the departmental review and of the availability of the report and the letter. The candidate may provide the Department Chair with written comments on the review for inclusion in the dossier, within ten calendar days of notification of the completion of the review. The P&T Committee and/or the Department Chair may provide written responses to the candidate's comments, for inclusion in the dossier. Only a single iteration of comments on the departmental level review is permitted.

The Chair will forward the candidate's dossier including the report and vote of the eligible faculty, and his/her own letter, along with candidate comments and departmental responses if applicable, to the Dean of the College of Engineering.

Procedures for appeal of the results of the above review, for tenure track faculty members, are described in Section 8.

7.3 PROMOTION/TENURE DOCUMENTATION

It is essential that faculty members fully document their accomplishments relevant to the expectations described in Sections 7.1.1 and 7.1.2 of this document for promotion to Associate Professor with tenure, Sections 7.1.1 and 7.1.3 for promotion to tenured Professor, and Sections 7.1.1 and 7.1.5, and 7.1.6 for promotion of clinical track and research track faculty, respectively.

The faculty candidate shall provide, in support of his/her case for promotion and/or tenure, a core dossier carefully and accurately completed as appropriate depending on the faculty category, following the standard format determined by the Office of Academic Affairs. If requested, the faculty candidate should be prepared to supply copies of his/her publications, and original letters of acceptance for publications that are unconditionally accepted without any further revisions, but not yet printed. If requested, the candidate should be able to provide copies of the student evaluations, course syllabi and other appropriate course materials, descriptions of any courses developed, Teaching Files if applicable (Section 7.3.1.3), and documentation of awards and citations.

Measures to be used to characterize faculty member performance and record in the areas of teaching, research/scholarship, and service are described in the following subsections, along with procedures for documentation.

7.3.1 TEACHING

7.3.1.1 STUDENT EVALUATIONS OF CLASSROOM INSTRUCTION

Student evaluation of classroom instruction is an essential measure of the quality of teaching performance of tenure track and clinical track faculty. A mandatory component of such student evaluation is the use of the Student Evaluation of Instruction (SEI) questionnaire (or other equivalent instrument) administered on-line by the Office of the Registrar, and the MAE departmental questionnaire, for each course taught by the candidate faculty member. In considering the student evaluation information, student responses to different questions and the pattern of their responses over all the courses taught by the candidate should be examined, rather than reducing the information to a single number and judging the quality/effectiveness of teaching by that number.

While a faculty member may distribute the MAE departmental questionnaires to his/her class, the faculty member may not handle the completed questionnaires. The normal procedure is for a student volunteer to collect the questionnaires and deliver them to the undergraduate/graduate advising office. Faculty members may use OSU-approved web-based software packages such as Carmen to conduct these surveys instead, if class schedules do not permit timely distribution of the forms to the classes. In such cases, the faculty members need to notify the Department Chair or Associate Chair in advance. Faculty members may also use the computer-based surveys in addition to distributing the surveys in class, at their option.

Additional student evaluations of classroom instruction, which are not mandatory, may also be obtained, including senior exit surveys, which consist of detailed questionnaires covering the entire

undergraduate curriculum and are given to all graduating seniors during their last term of study. Seniors are requested to complete the questionnaires on-line as a condition of their graduation.

7.3.1.2 EVALUATIONS BY PEERS AND OTHERS

Peer evaluation of classroom instruction, and of other aspects of teaching by the candidate faculty member, is mandatory, and will follow the procedures described in Section 7.3.1.2. The variety of courses taught by the candidate will also be taken into account in this evaluation. Furthermore, successful use of innovative educational techniques to improve teaching effectiveness will be recognized. Peer evaluation of the quality of the candidate's contributions in the following areas of teaching shall also be performed, where appropriate for the faculty track:

- Mentoring of graduate and undergraduate students in research, and academic advising of students.
- Curriculum development, including course and lab development. Examples of contributions in this area are the introduction of graduate courses, significant revision and updating of the undergraduate and graduate curricula, upgrading of laboratory component of courses, and updating of graduate courses by incorporation of research results.
- Involvement in graduate exams, theses, and dissertations, in capacity other than that of advisor. Meaningful involvement implies that the candidate provides appropriate guidance to the graduate students involved, by sharing his/her expertise and perspective.

Additional measures of the effectiveness of teaching, involving evaluation and recognition by others, including academic peers in some instances, are listed below, and will be used if they are available. By their nature, these measures are not mandatory.

- Authorship of textbooks, wide use of such texts implying a significant measure of positive peer recognition.
- Teaching awards for classroom instruction.
- Grants for teaching and course development, especially if they involve significant peer evaluation.
- Refereed publications in journals dedicated to engineering education.
- Successful and properly documented use of classroom visits by colleagues, or other parties such as the University Center for the Advancement of Teaching, to improve teaching effectiveness.

7.3.1.3 TEACHING PORTFOLIO

The Teaching Portfolio allows for more comprehensive documentation of teaching performance. It would contain course conduct and student performance information, in addition to student and peer evaluations of the faculty member's teaching performance, and is described in Appendix B. The Teaching Portfolio, or other equivalent form of documentation of teaching effectiveness, is mandatory for clinical faculty members. Tenure track faculty members are strongly encouraged, at their option, to use this form of documentation of teaching performance.

7.3.2 RESEARCH

7.3.2.1 PUBLICATION RECORD

The successful tenure track and research track faculty candidate's publication record should document consistency of scholarly endeavor, and be commensurate with that of leading scholars in his/her field, when they were at a similar stage in their careers. While a publication record

appropriately consists of several components apart from archival papers, it is the archival journal papers that serve as the foundation on which the remainder of the record should be built and evaluated. Thus, a reasonable representation of the candidate's work is required to appear in the most reputable journals in his/her research area.

In view of the wide variability in acceptance rates, prestige, and visibility within journals and other publications, it is difficult to define absolute numerical requirements on the publication record. However, it is essential that this record be commensurate with a sustained record of research and dissemination of research results. Collaborative research efforts are encouraged where appropriate. When work is co-authored, the faculty member must be able to indicate what his/her contribution to the work was in terms of both effort and substance.

A complete publication record will include more than archival journal papers. Conference papers (both refereed and otherwise), book chapters, magazine articles, and patents are all worthy products of the faculty member's research activities. While these are generally considered to be secondary to the archival publications, in some research areas more consideration may be warranted, especially for patents and refereed conference publications. It is important, however, that the conferences should be widely recognized as refereed, selective, and of high quality. The visibility of these conferences as focal points for research in the area must also be established. The candidate should be able to show that the publication record has been built and/or sustained by him/her functioning in an independent capacity. Consistent with the Department's educational mission, the publication record of the candidate is expected to have the graduate student involvement in the form of co-authorship of journal papers. The candidate will also have facilitated research presentations by graduate students at technical conferences.

The quality of the papers, and of the journals in which the papers appear, will be assessed. The external evaluators will also be specifically asked to comment on the quality of the research presented in the papers. In addition, developing and securing intellectual property such as patents, patent disclosures, licensing of university-developed intellectual property and revenue generated from licenses may also be counted as evidence of scholarship, but not in lieu of archival journal publications.

7.3.2.2 FUNDING RECORD

In addition to publications, a productive tenure track or research faculty member being considered for promotion is expected to acquire and maintain external resources to support his/her research activities. The external funding should allow the candidate to build the infrastructure to support such activities, eventually generating high quality results. The funding (and the seeking of funding) should be documented as an ongoing, consistent activity. It is recognized, however, that it is the quality of the product and the consistency of the effort that are regarded highly, rather than the amount of funds received.

7.3.2.3 EXTERNAL PEER EVALUATION LETTERS

External letters will be solicited from recognized authorities at peer institutions and in the candidate's areas of research/scholarship, for critical evaluation of tenure track, clinical track, and research track faculty. In the case of clinical track faculty, evaluation letters obtained external to the department will suffice without the need for evaluations external to the university. It is understood that, in addition to universities, peer institutions include reputable government and industrial research organizations. For the evaluation of the scholarly contributions and impact on professional practice of clinical track faculty members, letters will be sought from evaluators at

reputable industrial organizations and educational institutions who are well-versed in the scholarship of teaching and learning and in the practice of the profession.

Measures of research/scholarship accomplishments also include invited research seminars, research awards, and professional honors. Fellowships and honors awarded to graduate students, such as university/national fellowships and best paper/presentation awards, reflect positively upon the faculty candidate's involvement of graduate students in research. The placement of graduated Ph.D. students in prestigious organizations and/or evidence of success of former students reflect favorably on the mentoring they received from the candidate, and on the institution they graduated from.

7.3.3 SERVICE MEASURES

Service to the department, college, and university takes the form of participation in committees at these various levels, the significance of the service being greater if the candidate assumes a leadership role. Faculty advising of student groups and organizations by the tenure track and clinical track candidate is also a significant form of service, especially if such advising is shown to contribute to improved effectiveness of operation of these groups.

Ours is a large, complex endeavor that requires of all of us, hard work, cooperation, professionalism, ethical behavior, and a collegial attitude. It is therefore entirely appropriate to consider the candidate's professional conduct in the discharge of her or his department (and other university-related) responsibilities as part of the evaluation. The successful candidate in this area will:

- demonstrate prompt and consistent attendance at assigned committee and other departmental meetings, as well as effective and efficient completion of the work external to the meetings necessary for the committee, or other body, to fulfill its responsibilities.
- satisfy the need of the department to participate in activities that reach beyond the department, such as faculty governance, outreach, and service.
- treat departmental staff, and faculty with professionalism and respect.
- treat students with professionalism and respect both in the classroom, and individually.
- be available for a reasonable period of time each week to meet with students.
- make good use of departmental resources, and practice fiscal integrity in all interactions with funding agencies/sponsors and other external customers.
- treat members of the public with whom he/she interacts as a representative of the university, professionally and with respect.

Measures of service to professional societies and organizations include, but are not restricted to, the following:

- Editorships of journals, conference proceedings, and symposium proceedings,
- Organization and/or chairing of sessions at technical conferences or workshops,
- Leadership roles in societies, including technical committee memberships,
- Service as reviewer of conference and journal papers, and
- Service as reviewer of technical proposals.

Measures of service to other public and private entities beyond the University include, but are not restricted to, the following:

- Service on panels and commissions
- Professional consultation to governmental and educational organizations.

8. APPEALS

Faculty Rule{ XE "Rules of the University Faculty" } 3335-6-05, (<http://trustees.osu.edu/university/facultyrules>) sets forth general criteria for appeals{ XE "appeals" } of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05, (<http://trustees.osu.edu/university/facultyrules>). 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 3335-6-05B)

Faculty Rule{ XE "Rules of the University Faculty" } 3335-6-05, (<http://trustees.osu.edu/university/facultyrules>) 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. APPENDICES

Appendices A – D follow.

Note: Procedures for student and peer evaluation of classroom instruction are contained in section 7.3.1.

APPENDIX A
SAMPLE ANNUAL REPORT FORMATS

YOUR NAME

2017 CALENDAR YEAR (CY) - ANNUAL REPORT

Faculty of Practice and Lecturers

TEACHING ACTIVITIES IN CY 2017

T1. Classroom Teaching Performance

a) Courses taught in CY 2017

List courses taught including the quarter of offering. If multiple sections of a course were taught by you, indicate the number of sections taught **and the enrollment**, as well.

b) Courses you wish to teach next Academic Year (AY)

List courses (**including at least one required undergraduate class**) you wish to teach in AY 2018-2019 during

b1) Autumn 2018:

b2) Spring 2019:

Teaching assignments may vary as a result of a number of factors, especially in terms of departmental needs, and your workload as determined by your other activities and our workload algorithm, yet your input here will be useful in better informing the process.

c) Student evaluations for courses taught in CY 2017

SEI summaries and completed departmental evaluation forms are available to the department chairperson and need not be submitted. If other student evaluations were obtained, you may attach them here.

d) Third party evaluations of classroom performance in CY 2017 (Optional)

Materials relevant here include documentation of consultations with the Office of Faculty and TA Development, or of peer consultation on teaching techniques.

e) Involvement in graduate student exams and theses in capacity other than advisor

List graduate student exams and theses defenses, during CY 2017, in which you participated in a capacity other than advisor or co-advisor.

f) Involvement in graduate student exams and theses in capacity other than advisor, where the *graduate student and/or advisor were from an underrepresented group*

List graduate student exams and theses defenses, during CY 2017, in which you participated in a capacity other than advisor or co-advisor, where the *graduate student and/or advisor were from an underrepresented group*

T2. SELF-ASSESSMENT BY FACULTY MEMBER

This statement should be limited to three pages, and should include the following items as appropriate:

a) Statement of teaching philosophy of faculty member, including teaching goals for next few years

b) Course content modifications or enhancements in CY 2017

Significant revision and updating of undergraduate and graduate courses, updating of graduate courses by incorporation of research results, introduction of new courses. Introduction of new experiments or laboratory courses. Revision of existing laboratory courses.

c) Novelty and innovation in instruction in CY 2017

d) Measures taken to improve effectiveness of instruction in CY 2017

T3. OTHER TEACHING ACTIVITIES

List the following activities as appropriate:

a) Authorship of textbooks published in CY 2017

b) Conference activities and presentations related to teaching in CY 2017

c) Publications in journals devoted to engineering education in CY 2017

D) TEACHING AWARDS AND AWARDS FOR TEXTBOOKS RECEIVED IN CY 2017

e) Grants for teaching and/or course development in CY 2017

SERVICE ACTIVITIES IN CY 2017

S1. Internal Service during CY 2017

Indicate term since most university assignments are on an academic year basis. Also indicate *committee chair* assignments. If you chaired a committee, please give the name of the other members of your committee and rate their contributions on a scale from 0 to 10, 0 being the least contributive and 10 being the most contributive.

- a) Faculty whom you mentored in CY2017 (indicate how often you met and for how long); specifically **highlight** those faculty members whom you mentored that were from an underrepresented group
- b) Faculty who mentored you in CY2017 (indicate how often you met with them and for how long); specifically **highlight** those faculty members who mentored you that were from an underrepresented group
- c) Administrative assignments in the department
- d) Departmental committees
- e) College committees
- f) University committees

S2. Consulting Activities in CY 2017

Indicate companies or individuals for whom consulting work was done, and the nature of the work done (such as engineering analysis, expert witness, engineering design, etc.)

S3. Society Membership (other than Fellow) during CY 2017 (if applicable)

List professional societies of which you are a member.

S4. Society Fellowships during CY 2017 (if applicable)

List professional societies of which you are a **Fellow**.

S5. External Service during CY 2017 (if applicable)

a) Editorial Boards

List all editorial board appointments (journal editor or associate editor) that were active at any time during the CY 2017. If the appointment was only active during part of the year, list the date of appointment, or the date of completing the term.

b) Professional Society Activities

Include professional society and other professional service activities such as conference chairpersonships, or organizing/program committee memberships, journals and funding agencies for whom reviewing was done, professional society committees, government advisory panels, etc.

SCHOLARSHIP AND RESEARCH ACTIVITIES IN CY 2017 (if applicable)

R1. Graduate and Undergraduate Students Advised; Postdoctoral Researchers Supervised

a) List any Ph.D. students you have co-advised and graduated between 1/1/2014 and 12/31/2016, and specifically **highlight** those students whom you co-advised and graduated that were from an underrepresented group

Give student's name, program (AAE, ME, NE, EM, BME, One of a Kind, etc.), month of completion, and student's current employment (if known).

b) Co-advised Ph.D. Dissertations completed during CY 2017, and specifically **highlight** those co-advised students that were from an underrepresented group

Give student's name, dissertation title, program (AAE, ME, NE, EM, BME, One of a Kind, etc.), any co-advisors, month of completion, and student's current employment (if known).

c) M.S. Theses completed during CY 2017

Give student's name, thesis title, program (AAE, ME, NE, EM, BME, etc.), any co-advisors, month of completion, and student's current employment (if known).

d) Non-thesis M.S. students completed during CY 2017, specifically **highlight** those that were from an underrepresented group

Give student's name and program (AAE, ME, NE, EM, BME, etc.), month of completion, and student's current employment (if known).

e) Undergraduate honors projects completed in CY 2017, specifically **highlight** those students that were from an underrepresented group

Give student's name, thesis title, and month of completion, and student's current employment (if known).

f) Current doctoral students co-advised in CY 2017, specifically **highlight** those that are from an underrepresented group

Give student's name, program, expected quarter of completion, and source(s) of support during CY 2016. Indicate the source of funds for student tuition.

g) Current master's students in CY 2017, specifically **highlight** those that are from an underrepresented group

Give student's name, program, thesis or non-thesis, expected quarter of completion, and source(s) of support during CY 2016. Indicate the source of funds for student tuition.

h) Current undergraduate honors students in CY 2017, specifically **highlight** those that are from an underrepresented group

Give student's name and source(s) of any support.

R2. Collaborations

Please list names of collaborators, affiliations, nature of collaborations (joint grants or contracts with dollar amounts, proposal development, joint publications, co-advising of graduate or undergraduate students or other researchers)

- a) Internal to the Department:
- b) External to the University:
- c) External to the College but internal to the University:
- d) External to the Department but internal to the College:

R3. Publications

List your publications under one of the seven focus areas of our departmental strategic plan: *Advanced Aerospace Systems; Advanced Automotive Systems; Bioengineering; Energy and Environmental Quality; Materials and Manufacturing; Micro and Nanotechnology; and Nuclear Power.* If you feel the publication does not belong to any of the seven focus areas, please indicate 'Other' within parentheses.

a) Books and Monographs

a1) *Books you authored* that were *in print* during CY 2017. Give the authors, title, publisher, edition, year of publication, and number of pages. If the book first appeared during 2016, give the month of publication. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be from MAE and who are from an underrepresented group.**

a2) *Books you edited* that were *in print* during CY 2017. Give the editors, title, publisher, edition, year of publication, and number of pages. If the book first appeared during 2017, give the month of publication. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be from MAE and who are from an underrepresented group.**

a3) *Book chapters you authored* that *appeared in print* during CY 2017. Give the author(s), title, editors, publisher, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be from MAE and who are from an underrepresented group.**

a4) *New book projects you have under contract with a publisher* that were under contract during CY 2017. Give the author(s), title, publisher, and expected year of publication. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be from MAE and who are from an underrepresented group.**

a5) *Book chapters you authored* that were *accepted for publication* during CY 2017. Give the author(s), title, editors, and publisher. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be from MAE and who are from an underrepresented group.**

b) Journal Articles

b1) *Papers that appeared in archival journals.* Include only papers that appeared in print during CY 2017. Also, include only those printed in journals with a formal review process. Give author(s), title, journal, volume, number, month, and page numbers. Please include the month of the issue and **the ISI impact factor (IF) for each journal. If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

b2) *Papers that were accepted by archival journals.* Include only papers for which you received a formal letter of acceptance during CY 2017. Also, include only those accepted by journals with a formal review process. Give author(s), title, and journal name. **Also include the ISI IF for each journal. If any co-authors**

are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.

b3) *Papers that appeared in magazines or non-refereed journals.* Include only papers that appeared in print during CY 2017. Also, include only those printed in journals or magazines that do not have a formal review process. Give author(s), title, journal, volume, number, month, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

b4) *Papers that were accepted by magazines or non-refereed journals.* Include only papers for which you received a formal letter of acceptance during CY 2017. Also, include only those accepted by journals that do not have a formal review process. Give author(s), title, and journal name. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

b5) *Abstracts, and extended abstracts.* Include only abstracts that appeared in print during CY 2017. Give author(s), title, journal, volume, number, month, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

c) Conference Proceedings

c1) *Papers that appeared in refereed proceedings.* Include only papers that were presented during CY 2017. Also, include only those presented in conferences with a formal review process. Give author(s), title, conference, volume, editors (if applicable), month, and page numbers. Please include the month of the conference. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

c2) *Papers that were accepted for refereed proceedings but have not yet been presented.* Include only papers for which you received a formal letter of acceptance during CY 2017. Also, include only those accepted by conferences with a formal review process. Give author(s), title, and conference. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

c3) *Papers that appeared in non-refereed proceedings.* Include only papers that were presented during CY 2017. Also, include only those presented in conferences and workshops that do not have a formal review process. Give author(s), title, conference, volume, editors, month, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

d) Other Publications

All other publications such as videotapes, web based materials, book reviews, reports etc. Include only material published during CY 2017 and provide, as nearly as appropriate, the same information as for the above categories. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

e) Patents

e1) Patents on which you are currently receiving royalties. Any additional information you could give on the significance of the patent would be welcome. **If any co-inventors are your students or former students,**

please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.

e2) Patents on which you are listed as an inventor that were granted during CY 2017. Any additional information you could give on the significance of the patent would be welcome. **If any co-inventors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

f) h-index from ISI citation data base (Web of Science) (if applicable)

Report your h-index from the ISI citation data base. To get your h-index:

- i) Go to <http://apps.webofknowledge.com/>.
- ii) Select “All Databases” from the pull-down menu next to the orange arrow “Search”.
- iii) Enter your name and “author” in the search field. Click “Search”.
- iv) You might have a name that is not unique so that some of the papers listed may not belong to you; make sure to eliminate them from the list (An alternative approach is to establish a Researcher ID for yourself, which can be done by clicking “My Tools” on any of the search pages and choosing “ResearcherID”).
- v) Click “Create Citation Report” to run a citation analysis. It will return a list of papers with citations to them, along with the h-index.

R4. Presentations

a) Meetings and Conferences

Include only *presentations you made yourself*, not papers presented by co-authors. Include only presentations made during CY 2017. Give title, conference or meeting and month of the presentation.

b) Workshops and Short Courses

Include only *presentations you made yourself*, not papers presented by co-authors. Include only presentations made during CY 2017. Give title, conference or meeting, and month of the presentation.

c) Seminars

Include only seminars presented during CY 2017. Give title, location, and month of the presentation.

R5. Release time submitted in CY 2017 and planned for submission in CY2018

Release time (as % of 9 month salary) submitted for Spring 2017
(no need to provide – MAE HR Staff will fill in)

Release time (as % of 9 month salary) submitted for Autumn 2017
(no need to provide – MAE HR Staff will fill in)

List release time (as % of 9 month salary) you **anticipate submitting in Spring 2018**, and from which grants (this information will be used to determine your workload and affect your teaching assignments)

List release time (as % of 9 month salary) you **anticipate submitting in Autumn 2018**, and from which grants (this information will be used to determine your workload and affect your teaching assignments)

R6. Sponsored Research and Development Programs in CY 2017

Include only projects that were *active* during CY 2017. Give project title, principal investigator, co-investigator(s), other investigators, sponsor, amount of current award, start and finish dates of current award, and project expenditure in CY 2017. Also, for each project that you list, indicate within parentheses which of the seven focus areas in our departmental strategic plan the project belongs to. The seven focus areas are: Advanced Aerospace Systems; Advanced Automotive Systems; Bioengineering; Energy and Environmental Quality; Materials and Manufacturing; Micro and Nanotechnology; and Nuclear Power. If you feel the project does not belong to any of the seven focus areas, please indicate ‘Other’ within parentheses. **Please highlight those collaborators who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

Title and Focus Area:			
PI:			
Co-PI(s):			
Source:		Funding :	
Duration:		CY 2017 Expenditures:	

R7. Sponsored Research Expenditures in CYs 2015 – 2017

Please list the yearly research expenditures credited to you for each of the three CYs, 2015 – 2017. The information may be obtained by going to <http://osp.osu.edu/>. Hover over “Resources” in the tool bar towards the top right side of the page: this will bring up a drop down menu, click on “eTools”. Scroll down, towards the middle of the page: there will be a link for “eActivity”, click on it. You will need to log on with your name.#.

Expenditures

- i) Select “Expenditures” from the list (first choice).
- ii) Adjust the date range (Start Date: 01/01/2015 Stop Date: 12/31/2017) in the upper right corner of the gray area to the period of interest.
- iii) Select “Engineering College” (listed alphabetically).
- iv) Select “Mechanical & Aerospace Engr” (listed alphabetically).
- v) Click on the blue header “Investigator” to sort by PI name alphabetically. Select your name.
- vi) Use the numbers listed in the columns below as labeled below for reporting purposes.
 - Sponsor Direct = column 1 on eActivity
 - Sponsor F&A = column 3 on eActivity
 - Sponsor Total = column 5 on eActivity
 - % Expenditures = your estimated calculations per step a7.

Note: The OSP eActivity data reports the total expenditures for all projects for which the faculty member named is PI or co-PI.

- vii) Estimate the percent of expenditures attributable to you, recognizing that this estimate is approximate.

CY	Sponsor Direct Charges	Sponsor F&A	Sponsor Total	% Expenditures
2014				
2015				
2016				

R8. PROPOSALS SUBMITTED IN CY 2017

Include proposals submitted in CY 2017. Give project title, principal investigator, co-investigator(s), other investigators, sponsor, amount of award sought, and proposed start and finish dates. Indicate decision status.

Title:			
PI:			
Co-PI(s):			
Source:		Funding :	
Duration:		Status:	

R9. Awards and Honors Received during CY 2017

Include professional society grade promotions, particularly promotions to fellow grade, as well as awards and prizes. Give the title of the award, society or sponsor and activity for which the award was made, if appropriate. Include also university, college, and department awards.

YOUR NAME

2017 CALENDAR YEAR (CY) - ANNUAL REPORT

Research-Track Faculty

RESEARCH ACTIVITIES IN CY 2017

R1. Graduate and Undergraduate Students Advised; Postdoctoral Researchers Supervised

a) List all Ph.D. students you have advised and graduated between 1/1/2015 and 12/31/2017, and please highlight those who are from an underrepresented group.

Give student's name, program (AAE, ME, NE, EM, BME, One of a Kind, etc.), month of completion, and student's current employment (if known).

b) Ph.D. Dissertations completed during CY 2017

Give student's name, dissertation title, program (AAE, ME, NE, EM, BME, One of a Kind, etc.), any co-advisors, month of completion, and student's current employment (if known).

c) M.S. Theses completed during CY 2017

Give student's name, thesis title, program (AAE, ME, NE, EM, BME, etc.), any co-advisors, month of completion, and student's current employment (if known), and please highlight those who are from an underrepresented group.

d) Non-thesis M.S.'s completed during CY 2017

Give student's name and program (AAE, ME, NE, EM, BME, etc.), month of completion, and student's current employment (if known), and please highlight those who are from an underrepresented group.

e) Undergraduate honors projects completed in CY 2017

Give student's name, thesis title, and month of completion, and student's current employment (if known), and please highlight those who are from an underrepresented group.

f) Current doctoral students in CY 2017

Give student's name, program, expected quarter of completion, and source(s) of support during CY 2017. Indicate the source of funds for student tuition. Please highlight those who are from an underrepresented group.

g) Current master's students in CY 2017

Give student's name, program, thesis or non-thesis, expected quarter of completion, and source(s) of support during CY 2017. Indicate the source of funds for student tuition. Please highlight those who are from an underrepresented group.

h) Current undergraduate honors students in CY 2017

Give student's name and source(s) of any support. Please highlight those co-authors who are from an underrepresented group.

i) Current postdoctoral researchers supervised in CY 2017

Give researcher's name, Ph.D. degree and degree granting institution, duration of current employment (Start date – Present). **Please highlight those who are from an underrepresented group.**

R2. Collaborations

Please list names of collaborators, affiliations, nature of collaborations (joint grants or contracts with dollar amounts, proposal development, joint publications, co-advising of graduate or undergraduate students or other researchers), and **please highlight those collaborators who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

a) Internal to the Department:

b) External to the University:

c) External to the College but internal to the University:

d) External to the Department but internal to the College:

R3. Publications

List your publications under one of the seven focus areas of our departmental strategic plan: Advanced Aerospace Systems; Advanced Automotive Systems; Bioengineering; Energy and Environmental Quality; Materials and Manufacturing; Micro and Nanotechnology; and Nuclear Power. If you feel the publication does not belong to any of the seven focus areas, please indicate 'Other' within parentheses.

a) Books and Monographs

a1) *Books you authored that were in print during CY 2017.* Give the authors, title, publisher, edition, year of publication, and number of pages. If the book first appeared during 2017, give the month of publication. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

a2) *Books you edited that were in print during CY 2017.* Give the editors, title, publisher, edition, year of publication, and number of pages. If the book first appeared during 2017, give the month of publication. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

a3) *Book chapters you authored that appeared in print during CY 2017.* Give the author(s), title, editors, publisher, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

a4) *New book projects you have under contract with a publisher that were under contract during CY 2017.* Give the author(s), title, publisher, and expected year of publication. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

a5) *Book chapters you authored that were accepted for publication during CY 2017.* Give the author(s), title, editors, and publisher. **If any co-authors are your students or former students, please highlight their**

name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.

b) Journal Articles

b1) *Papers that appeared in archival journals.* Include only papers that appeared in print during CY 2017. Also, include only those printed in journals with a formal review process. Give author(s), title, journal, volume, number, month, and page numbers. Please include the month of the issue and **the ISI impact factor (IF) for each journal. If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

b2) *Papers that were accepted by archival journals.* Include only papers for which you received a formal letter of acceptance during CY 2017. Also, include only those accepted by journals with a formal review process. Give author(s), title, and journal name. **Also include the ISI IF for each journal. If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

b3) *Papers that appeared in magazines or non-refereed journals.* Include only papers that appeared in print during CY 2017. Also, include only those printed in journals or magazines that do not have a formal review process. Give author(s), title, journal, volume, number, month, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

b4) *Papers that were accepted by magazines or non-refereed journals.* Include only papers for which you received a formal letter of acceptance during CY 2017. Also, include only those accepted by journals that do not have a formal review process. Give author(s), title, and journal name. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

b5) *Abstracts, and extended abstracts.* Include only abstracts that appeared in print during CY 2017. Give author(s), title, journal, volume, number, month, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

c) Conference Proceedings

c1) *Papers that appeared in refereed proceedings.* Include only papers that were presented during CY 2017. Also, include only those presented in conferences with a formal review process. Give author(s), title, conference, volume, editors (if applicable), month, and page numbers. Please include the month of the conference. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

c2) *Papers that were accepted for refereed proceedings but have not yet been presented.* Include only papers for which you received a formal letter of acceptance during CY 2017. Also, include only those accepted by conferences with a formal review process. Give author(s), title, and conference. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

c3) *Papers that appeared in non-refereed proceedings.* Include only papers that were presented during CY 2017. Also, include only those presented in conferences and workshops that do not have a formal review process. Give author(s), title, conference, volume, editors, month, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-**

authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.

d) Other Publications

All other publications such as videotapes, web based materials, book reviews, reports etc. Include only material published during CY 2017 and provide, as nearly as appropriate, the same information as for the above categories. **If any co-authors are your students or former students, please highlight their name in bold. Please highlight those co-authors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

e) Patents

e1) Patents on which you are currently receiving royalties. Any additional information you could give on the significance of the patent would be welcome. **If any co-inventors are your students or former students, please highlight their name in bold. Please highlight those co-inventors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

e2) Patents on which you are listed as an inventor that were granted during CY 2017. Any additional information you could give on the significance of the patent would be welcome. **If any co-inventors are your students or former students, please highlight their name in bold. Please highlight those co-inventors who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

f) h-index from ISI citation data base (Web of Science)

Report your h-index from the ISI citation data base. To get your h-index:

vi) Go to <http://apps.webofknowledge.com/>.

vii) Select “All Databases” from the pull-down menu next to the orange arrow “Search”.

viii) Enter your name and “author” in the search field. Click “Search”.

ix) You might have a name that is not unique so that some of the papers listed may not belong to you; make sure to eliminate them from the list (An alternative approach is to establish a Researcher ID for yourself, which can be done by clicking “My Tools” on any of the search pages and choosing “ResearcherID”).

x) Click “Create Citation Report” to run a citation analysis. It will return a list of papers with citations to them, along with the h-index.

R4. Presentations

a) Meetings and Conferences

Include only *presentations you made yourself*, not papers presented by co-authors. Include only presentations made during CY 2017. Give title, conference or meeting and month of the presentation.

b) Workshops and Short Courses

Include only *presentations you made yourself*, not papers presented by co-authors. Include only presentations made during CY 2017. Give title, conference or meeting, and month of the presentation.

c) Seminars

Include only seminars presented during CY 2017. Give title, location, and month of the presentation.

R5. Release time submitted in CY 2017 and planned for submission in CY2018

Release time (as % of 9 month salary) submitted for Spring 2017
(no need to provide – MAE HR Staff will fill in)

Release time (as % of 9 month salary) submitted for Autumn 2017
(no need to provide – MAE HR Staff will fill in)

List release time (as % of 9 month salary) you **anticipate submitting in Spring 2018**, and from which grants (this information will be used to determine your workload and affect your teaching assignments)

List release time (as % of 9 month salary) you **anticipate submitting in Autumn 2018**, and from which grants (this information will be used to determine your workload and affect your teaching assignments)

R6. Sponsored Research and Development Programs in CY 2017

Include only projects that were *active* during CY 2017. Give project title, principal investigator, co-investigator(s), other investigators, sponsor, amount of current award, start and finish dates of current award, and project expenditure in CY 2017. Also, for each project that you list, indicate within parentheses which of the seven focus areas in our departmental strategic plan the project belongs to. The seven focus areas are: Advanced Aerospace Systems; Advanced Automotive Systems; Bioengineering; Energy and Environmental Quality; Materials and Manufacturing; Micro and Nanotechnology; and Nuclear Power. If you feel the project does not belong to any of the seven focus areas, please indicate ‘Other’ within parentheses. **Please highlight those collaborators who may be students, faculty, or staff from MAE and who are from an underrepresented group.**

Title and Focus Area:			
PI:			
Co-PI(s):			
Source:		Funding :	
Duration:		CY 2017 Expenditures:	

R7. Sponsored Research Expenditures in CYs 2015 – 2017

Please list the yearly research expenditures credited to you for each of the three CYs, 2015 – 2017. The information may be obtained by going to <http://osp.osu.edu/>. Hover over “Resources” in the tool bar towards the top right side of the page: this will bring up a drop down menu, click on “eTools”. Scroll down, towards the middle of the page: there will be a link for “eActivity”, click on it. You will need to log on with your name.#.

Expenditures

- i) Select “Expenditures” from the list (first choice).
- ii) Adjust the date range (Start Date: 01/01/2015 Stop Date: 12/31/2017) in the upper right corner of the gray area to the period of interest.
- iii) Select “Engineering College” (listed alphabetically).

- iv) Select “Mechanical & Aerospace Engr” (listed alphabetically).
- v) Click on the blue header “Investigator” to sort by PI name alphabetically. Select your name.
- vi) Use the numbers listed in the columns below as labeled below for reporting purposes.
- Sponsor Direct = column 1 on eActivity
 - Sponsor F&A = column 3 on eActivity
 - Sponsor Total = column 5 on eActivity
 - % Expenditures = your estimated calculations per step a7.

Note: The OSP eActivity data reports the total expenditures for all projects for which the faculty member named is PI or co-PI.

- vii) Estimate the percent of expenditures attributable to you, recognizing that this estimate is approximate.

CY	Sponsor Direct Charges	Sponsor F&A	Sponsor Total	% Expenditures
2015				
2016				
2017				

R8. PROPOSALS SUBMITTED IN CY 2017

Include proposals submitted in CY 2017. Give project title, principal investigator, co-investigator(s), other investigators, sponsor, amount of award sought, and proposed start and finish dates. Indicate decision status.

Title:			
PI:			
Co-PI(s):			
Source:		Funding :	
Duration:		Status:	

R9. Awards and Honors Received during CY 2017

Include professional society grade promotions, particularly promotions to fellow grade, as well as awards and prizes. Give the title of the award, society or sponsor and activity for which the award was made, if appropriate. Include also university, college, and department awards.

SERVICE ACTIVITIES IN CY 2017

S1. External Service during CY 2017

a) Editorial Boards

List all editorial board appointments (journal editor or associate editor) that were active at any time during the CY 2017. If the appointment was only active during part of the year, list the date of appointment, or the date of completing the term.

b) Professional Society Activities

Include professional society and other professional service activities such as conference chairpersonships, or organizing/program committee memberships, journals and funding agencies for whom reviewing was done, professional society committees, government advisory panels, etc.

S2. Society Membership (other than Fellow) during CY 2017

List professional societies of which you are a member.

S3. Society Fellowships during CY 2017

List professional societies of which you are a **Fellow**.

S4. Internal Service during CY 2017

Indicate term since most university assignments are on an academic year basis. Also indicate *committee chair* assignments. If you chaired a committee, please give the name of the other members of your committee and rate their contributions on a scale from 0 to 10, 0 being the least contributive and 10 being the most contributive.

d) Faculty whom you mentored in CY2017 (indicate how often you met and for how long). **Please highlight those whom you mentored who are from an underrepresented group.**

e) Faculty who mentored you in CY2017 (indicate how often you met with them and for how long). **Please highlight those who mentored you and who are from an underrepresented group.**

f) Administrative assignments in the department

d) Departmental committees

e) College committees

f) University committees

S5. Consulting Activities in CY 2017

Indicate companies or individuals for whom consulting work was done, and the nature of the work done (such as engineering analysis, expert witness, engineering design, etc.)

TEACHING ACTIVITIES IN CY 2017 (If applicable)

T1. Classroom Teaching Performance

c) Courses taught in CY 2017

List courses taught including the quarter of offering. If multiple sections of a course were taught by you, indicate the number of sections taught **and the enrollment**, as well.

d) Courses you wish to teach next Academic Year (AY)

List courses (**including at least one required undergraduate class**) you wish to teach in AY 2018-2019 during

b1) Autumn 2018:

b2) Spring 2018:

Teaching assignments may vary as a result of a number of factors, especially your workload as determined by your other activities and our workload algorithm, yet your input here will be useful in better informing the process.

c) Student evaluations for courses taught in CY 2017

SEI summaries and completed departmental evaluation forms are available to the department chairperson and need not be submitted. If other student evaluations were obtained, you may attach them here.

d) Third party evaluations of classroom performance in CY 2017 (Optional)

Materials relevant here include documentation of consultations with the Office of Faculty and TA Development, or of peer consultation on teaching techniques.

e) Involvement in graduate student exams and theses in capacity other than advisor

List graduate student exams and theses defenses, during CY 2017, in which you participated in a capacity other than advisor or co-advisor.

T2. SELF-ASSESSMENT BY FACULTY MEMBER

This statement should be limited to three pages, and should include the following items as appropriate:

a) Statement of teaching philosophy of faculty member, including teaching goals for next few years

b) Course content modifications or enhancements in CY 2017

Significant revision and updating of undergraduate and graduate courses, updating of graduate courses by incorporation of research results, introduction of new courses. Introduction of new experiments or laboratory courses. Revision of existing laboratory courses.

c) Novelty and innovation in instruction in CY 2017

d) Measures taken to improve effectiveness of instruction in CY 2017

T3. OTHER TEACHING ACTIVITIES

List the following activities as appropriate:

a) Authorship of textbooks published in CY 2017 **not already reported** in Section R3 a)

b) Conference activities and presentations related to teaching in CY 2017

c) Publications in journals devoted to engineering education in CY 2017

D) TEACHING AWARDS AND AWARDS FOR TEXTBOOKS RECEIVED IN CY 2017

e) Grants for teaching and/or course development in CY 2017

YOUR NAME

2017 CALENDAR YEAR (CY) - ANNUAL REPORT

Tenured and Tenure-Track Faculty

RESEARCH ACTIVITIES IN CY 2017

R1. Graduate and Undergraduate Students Advised; Postdoctoral Researchers Supervised

a) List all Ph.D. students you have advised and graduated between 1/1/2014 and 12/31/2016, and please highlight those who are from an underrepresented group.

Give student's name, program (AAE, ME, NE, EM, BME, One of a Kind, etc.), month of completion, and student's current employment (if known).

b) Ph.D. Dissertations completed during CY 2017

Give student's name, dissertation title, program (AAE, ME, NE, EM, BME, One of a Kind, etc.), any co-advisors, month of completion, and student's current employment (if known), and **please highlight those who are from an underrepresented group.**

c) M.S. Theses completed during CY 2017

Give student's name, thesis title, program (AAE, ME, NE, EM, BME, etc.), any co-advisors, month of completion, and student's current employment (if known), and **please highlight those who are from an underrepresented group.**

d) Non-thesis M.S.'s completed during CY 2017

Give student's name and program (AAE, ME, NE, EM, BME, etc.), month of completion, and student's current employment (if known), and **please highlight those who are from an underrepresented group.**

e) Undergraduate honors projects completed in CY 2017

Give student's name, thesis title, and month of completion, and student's current employment (if known), and **please highlight those who are from an underrepresented group.**

f) Current doctoral students in CY 2017

Give student's name, program, expected quarter of completion, and source(s) of support during CY 2017. Indicate the source of funds for student tuition, and **please highlight those who are from an underrepresented group.**

g) Current master's students in CY 2017

Give student's name, program, thesis or non-thesis, expected quarter of completion, and source(s) of support during CY 2017. Indicate the source of funds for student tuition, and **please highlight those who are from an underrepresented group.**

h) Current undergraduate honors students in CY 2017

Give student's name and source(s) of any support, and **please highlight those who are from an underrepresented group.**

i) Current postdoctoral researchers supervised in CY 2017

Give researcher's name, Ph.D. degree and degree granting institution, duration of current employment (Start date – Present), and **please highlight those who are from an underrepresented group.**

j) Current GRAs supported in CY2017 and CY2018

CY	GRA Months (MAE students)	GRA Months (Non-MAE students)
2017		
2018 (estimate)		

R2. Collaborations

Please list names of collaborators, affiliations, nature of collaborations (joint grants or contracts with dollar amounts, proposal development, joint publications, co-advising of graduate or undergraduate students or other researchers), and **please highlight those who are from an underrepresented group.**

- a) Internal to the Department:
- b) External to the University:
- c) External to the College but internal to the University:
- d) External to the Department but internal to the College:

R3. Publications

List your publications under one of the seven focus areas of our departmental strategic plan: *Advanced Aerospace Systems; Advanced Automotive Systems; Bioengineering; Energy and Environmental Quality; Materials and Manufacturing; Micro and Nanotechnology; and Nuclear Power.* If you feel the publication does not belong to any of the seven focus areas, please indicate 'Other' within parentheses.

a) Books and Monographs

a1) *Books you authored* that were *in print* during CY 2017. Give the authors, title, publisher, edition, year of publication, and number of pages. If the book first appeared during 2017, give the month of publication. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

a2) *Books you edited* that were *in print* during CY 2017. Give the editors, title, publisher, edition, year of publication, and number of pages. If the book first appeared during 2017, give the month of publication. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

a3) *Book chapters you authored* that *appeared in print* during CY 2017. Give the author(s), title, editors, publisher, and page numbers. **If any co-authors are your students or former students, and also please highlight their name in bold, and please highlight those who are from an underrepresented group.**

a4) *New book projects you have under contract with a publisher* that were under contract during CY 2017. Give the author(s), title, publisher, and expected year of publication. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

a5) *Book chapters you authored that were accepted for publication* during CY 2017. Give the author(s), title, editors, and publisher. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

b) Journal Articles

b1) *Papers that appeared in archival journals.* Include only papers that appeared in print during CY 2017. Also, include only those printed in journals with a formal review process. Give author(s), title, journal, volume, number, month, and page numbers. Please include the month of the issue and **the ISI impact factor (IF) for each journal. If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

b2) *Papers that were accepted by archival journals.* Include only papers for which you received a formal letter of acceptance during CY 2017. Also, include only those accepted by journals with a formal review process. Give author(s), title, and journal name. **Also include the ISI IF for each journal. If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

b3) *Papers that appeared in magazines or non-refereed journals.* Include only papers that appeared in print during CY 2017. Also, include only those printed in journals or magazines that do not have a formal review process. Give author(s), title, journal, volume, number, month, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

b4) *Papers that were accepted by magazines or non-refereed journals.* Include only papers for which you received a formal letter of acceptance during CY 2017. Also, include only those accepted by journals that do not have a formal review process. Give author(s), title, and journal name. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

b5) *Abstracts, and extended abstracts.* Include only abstracts that appeared in print during CY 2017. Give author(s), title, journal, volume, number, month, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

c) Conference Proceedings

c1) *Papers that appeared in refereed proceedings.* Include only papers that were presented during CY 2017. Also, include only those presented in conferences with a formal review process. Give author(s), title, conference, volume, editors (if applicable), month, and page numbers. Please include the month of the conference. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

c2) *Papers that were accepted for refereed proceedings but have not yet been presented.* Include only papers for which you received a formal letter of acceptance during CY 2017. Also, include only those accepted by conferences with a formal review process. Give author(s), title, and conference. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

c3) *Papers that appeared in non-refereed proceedings.* Include only papers that were presented during CY 2017. Also, include only those presented in conferences and workshops that do not have a formal review

process. Give author(s), title, conference, volume, editors, month, and page numbers. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

d) Other Publications

All other publications such as videotapes, web based materials, book reviews, reports etc. Include only material published during CY 2017 and provide, as nearly as appropriate, the same information as for the above categories. **If any co-authors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

e) Patents

e1) Patents on which you are currently receiving royalties. Any additional information you could give on the significance of the patent would be welcome. **If any co-inventors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

e2) Patents on which you are listed as an inventor that were granted during CY 2017. Any additional information you could give on the significance of the patent would be welcome. **If any co-inventors are your students or former students, please highlight their name in bold, and also please highlight those who are from an underrepresented group.**

f) h-index from ISI citation data base (Web of Science)

Report your h-index from the ISI citation data base. To get your h-index:

- xi) Go to <http://apps.webofknowledge.com/>.
- xii) Select "All Databases" from the pull-down menu next to the orange arrow "Search".
- xiii) Enter your name and "author" in the search field. Click "Search".
- xiv) You might have a name that is not unique so that some of the papers listed may not belong to you; make sure to eliminate them from the list (An alternative approach is to establish a Researcher ID for yourself, which can be done by clicking "My Tools" on any of the search pages and choosing "ResearcherID").
- xv) Click "Create Citation Report" to run a citation analysis. It will return a list of papers with citations to them, along with the h-index.

R4. Presentations

a) Meetings and Conferences

Include only *presentations you made yourself*, not papers presented by co-authors. Include only presentations made during CY 2017. Give title, conference or meeting and month of the presentation.

b) Workshops and Short Courses

Include only *presentations you made yourself*, not papers presented by co-authors. Include only presentations made during CY 2017. Give title, conference or meeting, and month of the presentation.

c) Seminars

Include only seminars presented during CY 2017. Give title, location, and month of the presentation.

R5. Release time submitted in CY 2017 and planned for submission in CY2018

Release time (as % of 9 month salary) submitted for Spring 2017
(no need to provide – MAE HR Staff will fill in)

Release time (as % of 9 month salary) submitted for Autumn 2017
(no need to provide – MAE HR Staff will fill in)

List release time (as % of 9 month salary) you **anticipate submitting in Spring 2018**, and from which grants (this information will be used to determine your workload and affect your teaching assignments)

List release time (as % of 9 month salary) you **anticipate submitting in Autumn 2018**, and from which grants (this information will be used to determine your workload and affect your teaching assignments)

R6. Sponsored Research and Development Programs in CY 2017

Include only projects that were *active* during CY 2017. Give project title, principal investigator, co-investigator(s), other investigators, sponsor, amount of current award, start and finish dates of current award, and project expenditure in CY 2017. Also, for each project that you list, indicate within parentheses which of the seven focus areas in our departmental strategic plan the project belongs to. The seven focus areas are: Advanced Aerospace Systems; Advanced Automotive Systems; Bioengineering; Energy and Environmental Quality; Materials and Manufacturing; Micro and Nanotechnology; and Nuclear Power. If you feel the project does not belong to any of the seven focus areas, please indicate ‘Other’ within parentheses.

Title and Focus Area:			
PI:			
Co-PI(s):			
Source:		Funding :	
Duration:		CY 2017 Expenditures:	

R7. Sponsored Research Expenditures in CYs 2015 – 2017

Please list the yearly research expenditures credited to you for each of the three CYs, 2015 – 2017. The information may be obtained by going to <http://osp.osu.edu/>. Hover over “Resources” in the tool bar towards the top right side of the page: this will bring up a drop down menu, click on “eTools”. Scroll down, towards the middle of the page: there will be a link for “eActivity”, click on it. You will need to log on with your name.#.

Expenditures

- i) Select “Expenditures” from the list (first choice).
- ii) Adjust the date range (Start Date: 01/01/2015 Stop Date: 12/31/2017) in the upper right corner of the gray area to the period of interest.
- iii) Select “Engineering College” (listed alphabetically).
- iv) Select “Mechanical & Aerospace Engr” (listed alphabetically).
- v) Click on the blue header “Investigator” to sort by PI name alphabetically. Select your name.

vi) Use the numbers listed in the columns below as labeled below for reporting purposes.

- Sponsor Direct = column 1 on eActivity
- Sponsor F&A = column 3 on eActivity
- Sponsor Total = column 5 on eActivity
- % Expenditures = your estimated calculations per step a7.

Note: The OSP eActivity data reports the total expenditures for all projects for which the faculty member named is PI or co-PI.

vii) Estimate the percent of expenditures attributable to you, recognizing that this estimate is approximate.

CY	Sponsor Direct Charges	Sponsor F&A	Sponsor Total	% Expenditures
2015				
2016				
2017				

R8. PROPOSALS SUBMITTED IN CY 2017

Include proposals submitted in CY 2017. Give project title, principal investigator, co-investigator(s), other investigators, sponsor, amount of award sought, and proposed start and finish dates. Indicate decision status. **Please highlight those proposals in which co-investigators from MAE are from an underrepresented group.**

Title:			
PI:			
Co-PI(s):			
Source:		Funding :	
Duration:		Status:	

R9. Awards and Honors Received during CY 2017

Include professional society grade promotions, particularly promotions to fellow grade, as well as awards and prizes. Give the title of the award, society or sponsor and activity for which the award was made, if appropriate. Include also university, college, and department awards.

TEACHING ACTIVITIES IN CY 2017

T1. Classroom Teaching Performance

e) Courses taught in CY 2017

List courses taught including the quarter of offering. If multiple sections of a course were taught by you, indicate the number of sections taught **and the enrollment**, as well.

f) Courses you wish to teach next Academic Year (AY)

List courses (**including at least one required undergraduate class**) you wish to teach in AY 2018-2019 during

b1) Autumn 2018:

b2) Spring 2019:

Teaching assignments may vary as a result of a number of factors, especially your workload as determined by your other activities and our workload algorithm, yet your input here will be useful in better informing the process.

c) Student evaluations for courses taught in CY 2017

SEI summaries and completed departmental evaluation forms are available to the department chairperson and need not be submitted. If other student evaluations were obtained, you may attach them here.

d) Third party evaluations of classroom performance in CY 2017 (Optional)

Materials relevant here include documentation of consultations with the Office of Faculty and TA Development, or of peer consultation on teaching techniques.

e) Involvement in graduate student exams and theses in capacity other than advisor

List graduate student exams and theses defenses, during CY 2017, in which you participated in a capacity other than advisor or co-advisor.

T2. SELF-ASSESSMENT BY FACULTY MEMBER

This statement should be limited to three pages, and should include the following items as appropriate:

a) Statement of teaching philosophy of faculty member, including teaching goals for next few years

b) Course content modifications or enhancements in CY 2017

Significant revision and updating of undergraduate and graduate courses, updating of graduate courses by incorporation of research results, introduction of new courses. Introduction of new experiments or laboratory courses. Revision of existing laboratory courses.

c) Novelty and innovation in instruction in CY 2017

d) Measures taken to improve effectiveness of instruction in CY 2017

T3. OTHER TEACHING ACTIVITIES

List the following activities as appropriate:

a) Authorship of textbooks published in CY 2017 **not already reported** in Section R3 a)

b) Conference activities and presentations related to teaching in CY 2017

c) Publications in journals devoted to engineering education in CY 2017

D) TEACHING AWARDS AND AWARDS FOR TEXTBOOKS RECEIVED IN CY 2017

e) Grants for teaching and/or course development in CY 2017

SERVICE ACTIVITIES IN CY 2017

S1. External Service during CY 2017

a) Editorial Boards

List all editorial board appointments (journal editor or associate editor) that were active at any time during the CY 2017. If the appointment was only active during part of the year, list the date of appointment, or the date of completing the term.

b) Professional Society Activities

Include professional society and other professional service activities such as conference chairpersonships, or organizing/program committee memberships, journals and funding agencies for whom reviewing was done, professional society committees, government advisory panels, etc.

S2. Society Membership (other than Fellow) during CY 2017

List professional societies of which you are a member.

S3. Society Fellowships during CY 2017

List professional societies of which you are a **Fellow**.

S4. Internal Service during CY 2017

Indicate term since most university assignments are on an academic year basis. Also indicate *committee chair* assignments. If you chaired a committee, please give the name of the other members of your committee and rate their contributions on a scale from 0 to 10, 0 being the least contributive and 10 being the most contributive.

g) Faculty whom you mentored in CY2017 (indicate how often you met and for how long)

h) Faculty who mentored you in CY2017 (indicate how often you met with them and for how long)

i) Administrative assignments in the department

j) Departmental committees

k) College committees

l) University committees

S5. Consulting Activities in CY 2017

Indicate companies or individuals for whom consulting work was done, and the nature of the work done (such as engineering analysis, expert witness, engineering design, etc.)

APPENDIX B
EVALUATION OF TEACHING

The Teaching Portfolio

Each faculty member is expected to maintain a teaching portfolio that would contain course conduct and student performance information, and which would enable subsequent evaluation by members of the teaching evaluation panel. It would also offer an opportunity for self-assessment by the faculty member. These two components are intended to supplement student and peer evaluations of the faculty member and to enable a comprehensive evaluation of teaching performance.]

The teaching portfolio documents various aspects of a faculty member's teaching and has several sections, as suggested by the University Center for the Advancement of Teaching. Faculty are encouraged to look to the UCAT page for details on this section

<http://ucat.osu.edu/professional-development/teaching-portfolio/philosophy/>

Summary of Teaching Responsibilities

This section will provide an overview of the different courses that a faculty member has taught. For each different course, it is requested that a faculty member will summarize:

- A description of the course
 - What are the goals of the course?
 - Is a required course, a technical elective, or a graduate level course?
- How many students took the course for each offering
- What types of teaching strategies and methods were used
- Course content creation, modifications, and enhancements
- Any novelty and innovation that a faculty member brought to the course
- Measures taken to improve effectiveness of instruction

Philosophy of Teaching Statement

This section is an approximately 1-2 page narrative that includes:

- A faculty member's conception of teaching and learning
- A description as to how the faculty teaches
- Justification for why they teach that way
- Future teaching goals

Faculty are encouraged to look to the UCAT page for details on this section

<http://ucat.osu.edu/professional-development/teaching-portfolio/philosophy/>

Rationale for Course Materials

It is recognized that faculty may teach a variety of courses (e.g., undergraduate/graduate, lab-based/lecture-based, capstone, systems design, etc.). In consultation with the PT Committee, it is requested that a faculty member will provide no more than 3 examples of the breadth of courses that have been taught by providing and summarizing representative examples of:

- Course syllabi
- Homework assignments

- Tests and/or quizzes
- Final project descriptions (if applicable)
- Lab assignments (if applicable)
- Course handouts/packets

Documentation of Teaching Effectiveness from Students

The information in this part of the file will include the following:

- Summaries of student grades for course assignments (hi, low, average, standard deviation). Additionally, while focusing on the most recent course offering, samples of representative graded student performance (anonymous) for the courses listed in the “Rationale for Course Materials” section for assignments such as:
 - Homework assignments
 - Exams
 - Design projects and project evaluations (if applicable)
 - Course project reports (if applicable)
 - Laboratory reports (if applicable)
- Distribution of final grades assigned to students for courses (hi, low, average)
- A discussion as to how the grade distribution on these assignments and the final grade as a whole reflect the points raised philosophy of teaching and course rationale statements. For instance, a faculty member could comment on:
 - Whether or not the faculty member believes that these marks demonstrate appropriate learning of the key course objectives, such as specific ABET outcome criteria.
 - Rationale for “curving” any grades, specifically as it relates to objective measures of student learning.
 - What changes need to be made for the course next time.

Student Evaluations of Instruction

Student evaluations of instruction are essential parts of the evaluation of teaching performance, Results from all activities listed below will be maintained by the department, as is the current practice, and will be made available to the Promotion and Tenure Committee.

- Distribution and collection of course evaluation forms will be administered using the on-line procedures administered by the Office of the Registrar. Students will be advised of the importance attached to the process, so that they will be thoughtful in their responses.
- Distribution and collection of course evaluation forms used by the department. These evaluation forms will come in two parts
 - A paper-based evaluation that is similar to, but expands upon, the evaluation distributed by the Office of the Registrar
 - Questions that relate to the effectiveness of instruction for the course material. For undergraduate courses, the evaluation form for ABET shall serve this purpose. For other courses, the faculty member is asked to create a form in a similar spirit as the ABET form that reflects the students’ learning of the course objectives that are clearly identified on the course syllabus.

- Summary of statements provided during exit surveys/interviews of graduating seniors conducted by the department Chair or associate chairs and exit surveys/interviews of graduating graduate students conducted by the Graduate Studies Committee.

Classroom evaluations

Observations of classroom instruction and other aspects of teaching by the faculty member will come successful and properly documented classroom visits from various sources including:

- Colleagues within the department. It is requested that a faculty member provide relevant course materials (e.g., handouts, syllabi, etc.) to their colleagues in advance of such visits.
- Experts external to the department, such as external faculty who have taught similar courses.
- Entities like the University Center for the Advancement of Teaching that focus on the improvement of teaching effectiveness.

Benefits of Review

The results of the teaching evaluation will be used to reward faculty members who excel in teaching, as well as to evaluate clinical track faculty members. As such, it will be a significant factor in the determination of raises and the promotion process, and it will provide input into various teaching awards (department, college, university, ASEE). In addition, it will provide relief to some faculty concerns about using student evaluations as the only means of evaluating teaching.

The results may also be used for diagnostic purposes to identify problems in teaching. If the problems in teaching effectiveness are general, we will organize workshops through the University Center for the Advancement of Teaching. If problems are identified with a specific course, the interest area will be asked to propose changes to improve the course. If there are problem associated with the teaching effectiveness of an individual faculty member, the faculty member will be referred to the University Center for the Advancement of Teaching.

Summary

The teaching portfolio will require each faculty member to assemble appropriate documentation. Much of it will be accumulated over a period of three years. Also, some of the written material will be included in the individual faculty member's annual reports and resume. Therefore, creating the teaching file at three-year intervals will involve mainly assembling course material collected annually and editing other material that was provided for annual reports.

APPENDIX C
CLASSROOM TEACHING EVALUATION
FORM

DEPARTMENT OF MECHANICAL AND AEROSPACE
ENGINEERING INSTRUCTOR EVALUATION

SEMESTER: _____ INSTRUCTOR: _____

COURSE NUMBER _____

DATE/TIME OF LECTURE _____

(1) What do you feel were the strengths and weaknesses of this instructor?

Strengths:

Weaknesses:

(2) How do you feel the instructor could improve his/her teaching?

(3) Please rank the instructor from 1 (low) to 5 (high) on the following aspects of teaching:

• Instructor well prepared	1	2	3	4	5
• Encouraged independent thinking	1	2	3	4	5
• Learned greatly from instructor	1	2	3	4	5
• Interested in helping students	1	2	3	4	5
• Overall rating	1	2	3	4	5

(4) How do you feel the course could be improved?

(5) If the course has associated labs, comment on the quality of the labs on a scale of 1 (Poor) to 5 (Excellent)

1 2 3 4 5

(6) Other comments:

APPENDIX D
SAMPLE LETTERS TO EXTERNAL REFERENCES

SAMPLE LETTER TO EXTERNAL REFERENCE

<date>

Dear <>

<>, currently an Assistant Professor in the <> Program and the Department of Mechanical and Aerospace Engineering at The Ohio State University, is being considered for promotion to Associate Professor with tenure. At such a time, it is our practice to request evaluations of the quality of the research of the candidate being considered and of his professional standing, from recognized authorities in the candidate's field such as you.

Our criteria for promotion and tenure are similar to those of most other major research universities. We evaluate the candidate's achievements with respect to research contributions, teaching performance, and service to the university and the profession. Specifically, I would like to receive your comments regarding <>'s:

- 1) Professional reputation
- 2) Impact and significance of work and publications
- 3) Participation in professional organizations and activities
- 4) Ranking relative to leading individuals in his peer group

I am attaching, in electronic form, a copy of <>'s updated curriculum vitae, a description of his research contributions, and five research publications selected by him as representative of his work. Your comments on <>'s research standing and contributions are of particular importance to us. Any additional comments that you may wish to make regarding other aspects of his professional career would also be appreciated.

May I request your response by <>? I do hope that you will be able to provide an assessment of <> within this time frame. An emailed letter by that time frame is acceptable if it is signed and on your institutional letterhead, and I'd prefer that it be followed later by a hard copy. Please let me know if you are able to help. If you are unable to do so, please let me know at your earliest convenience by an email to <>.

I should inform you that, under the provisions of the Ohio Open Records Act, all documents relating to promotion and tenure reviews, including letters of evaluation, are public records. Therefore, while we will not share your letter beyond the relevant reviewing bodies in our promotion and tenure process, we are unable to guarantee the confidentiality.

I would like to thank you for taking the time to provide us with your opinion in this most important matter. We do recognize the time and effort needed to respond to these requests and we appreciate your assistance very much.

Yours sincerely,

Professor and Chairperson
Enclosures

SAMPLE LETTER TO EXTERNAL REFERENCE

<date>

Dear <>

<>, currently an Associate Professor in the Department of Mechanical and Aerospace Engineering at The Ohio State University, is being considered for promotion to the rank of Professor. At such a time, it is our practice to request evaluations of the quality of the research of the candidate for promotion, and of his professional standing, from recognized authorities in the candidate's field such as you.

Our criteria for such a promotion are similar to those of most other major research universities. We evaluate the candidate's achievements with respect to research contributions, teaching performance, and service to the university and the profession. Specifically, I would like to receive your comments regarding <>'s:

- 1) Professional reputation
- 2) Impact of work and publications
- 3) Participation in professional organizations and activities
- 4) Ranking relative to leading individuals in his peer group

I am attaching, in electronic form, a copy of <>'s updated curriculum vitae, a description of his research contributions, and five research publications selected by him as representative of his work. Your comments on <>'s research standing and contributions are of particular importance to us. Any additional comments that you may wish to make regarding other aspects of his professional career would also be appreciated.

May I request your response by <>? I do hope you will be able to provide an assessment of <> within this time frame. If you are unable to comply for any reason, please let me know at your earliest convenience by an email to <>.

I should inform you that, under the provisions of the Ohio Open Records Act, all documents relating to promotion and tenure reviews, including letters of evaluation, are public records. Therefore, while we will not share your letter with individuals beyond the relevant reviewing bodies in our promotion and tenure process, we are unable to guarantee its full confidentiality.

I would like to thank you for taking the time to provide us with your opinion in this most important matter. We do recognize the time and effort needed to respond to these requests and appreciate your assistance greatly.

Yours sincerely,

Professor and Chairperson
Enclosures