# Appointments, Promotion, and Tenure (APT) Criteria and Procedures for The Ohio State University Engineering

# Appointments, Promotion, and Tenure (APT) Criteria and Procedures for The Ohio State University

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**Contents**


**I Preamble ..... 3**
**II College Mission and Vision ..... 4**
**III Definitions ..... 4**
A Committee of the Eligible Faculty ..... 4
1 Tenure-Track Faculty ..... 4
2 Professional Practice Faculty ..... 4
3 Research Faculty ..... 5
4 Associated Faculty ..... 6
5 Conflict of Interest ..... 7
6 Minimum Composition ..... 7
B Promotion and Tenure Committee ..... 7
C Quorum ..... 7
D Recommendation from the Committee of the Eligible Faculty ..... 7
1 Appointment ..... 8
2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal ..... 8
**IV Appointments ..... 8**
A TIU APT Document Expectations ..... 8
B Criteria ..... 8
1 Tenure Track Faculty ..... 9
2 Professional Practice Faculty ..... 10
3 Research faculty ..... 11
4 Associated Faculty ..... 12
5 Regional Campus Faculty ..... 13
6 Emeritus Faculty ..... 13
7 Courtesy Appointments for Faculty ..... 14
C Procedures ..... 14
1 Tenure Track Faculty on the Columbus Campus ..... 14
2 Professional Practice Faculty on the Columbus Campus ..... 17
3 Research Faculty on the Columbus Campus ..... 17
4 Transfer from the Tenure track ..... 18
5 Associated Faculty on the Columbus Campus ..... 18
6 Regional Campus Faculty ..... 19
7 Courtesy Appointments for Faculty ..... 19
**V Annual Performance and Merit Review Procedures ..... 19**
A Documentation ..... 20
B Probationary Tenure-Track Faculty ..... 21
1 Fourth-Year Review ..... 21
2 Exclusion of Time from Probationary Period ..... 22
C Tenured Faculty ..... 22
D Professional Practice Faculty ..... 22
1 Annual Performance and Merit Review for Probationary Professional Practice Faculty ..... 23
2 Appointment Renewal (Contract Renewal) for Professional Practice Faculty ..... 23
E Research Faculty ..... 24
1 Annual Performance and Merit Review for Probationary Research Faculty ..... 24
2 Appointment Renewal (Contract Renewal) for Research Faculty ..... 24
F Associated Faculty ..... 25
G Regional Campus Faculty ..... 25
H Salary Recommendations ..... 26
**VI Promotion and Tenure and Promotion Reviews ..... 26**

A Criteria ..... 27
1. Promotion to Associate Professor with Tenure ..... 31
2 Promotion to Professor ..... 32
3 Professional Practice Faculty ..... 32
4 Research Faculty ..... 33
5 Associated Faculty ..... 34
6 Regional Campus Faculty ..... 34
B Procedures ..... 34
1 Tenure-Track, Professional Practice, and Research Faculty ..... 34
2 Procedures for Associated Faculty ..... 41
3 Procedures for Regional Campus Faculty ..... 41
4 External Evaluations ..... 42
**VII Appeals ..... 44**
**VIII Seventh-Year Reviews ..... 44**
**IX Procedures for Student and Peer Evaluation of Teaching ..... 44**
A Student Evaluation of Teaching ..... 44
B Peer Evaluation of Teaching ..... 44
**Appendix A: Faculty Compensation Philosophy ..... 46**
Overview ..... 46
**Appendix B: Faculty Guidelines for Documenting University Shared Values in Faculty Annual Reviews ..... 47**

# I Preamble

This document is a supplement to Chapters 3335-6 and Chapter 3335-7 of the Rules of the University Faculty; the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs *Policies and Procedures Handbook*; the *University Policy on Faculty Appointments*, and other policies and procedures of the university to which the college and its faculty are subject.

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

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

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 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 and other standards specific to this 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 Policy on Equal Employment Opportunity.

This Appointments, Promotion and Tenure (APT) document is an instrument against which tenure initiating unit (TIU) APT documents are evaluated for approval by the college. It sets forth the procedures to be used by TIUs and described in TIU APT documents. For academic appointment, promotion and tenure; this document characterizes the range of criteria that may be considered in TIU APT documents, including for faculty that hold partial FTE positions in more than one department (jointly appointed faculty). Each TIU APT document shall develop appointment, promotion and tenure criteria that fit the TIU mission and align with the guidance in this document.

The head of each TIU is responsible for ensuring that the TIU revise its APT document to be consistent with this document and with the most current version in the Rules of the University Faculty and the Policies and Procedures Handbook as noted above, the university, college, and TIU missions; and other relevant policies, procedures, practices, and standards established by the college and the university.

The College of Engineering comprises several academic departments led by chairs and the Knowlton School of Architecture led by a director.

## II College Mission and Vision

Mission: We seek to develop solutions to important global problems through our discovery and innovation and to prepare leaders in engineering and architecture through our education and outreach programs to enhance economic competitiveness regionally, nationally, and globally.

Vision: We aspire to be the leader in discovery, innovation, and education in engineering and architecture among public land grant universities.

## III Definitions

### A Committee of the Eligible Faculty

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

The TIU head, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president may not participate as eligible faculty members in reviews for appointment, reappointment, promotion, promotion and tenure, or contract renewal.

#### 1 Tenure-Track Faculty

**Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of an assistant professor, the eligible faculty consists of all tenure-track faculty in the TIU.

  *(The bullet above is not applicable if the TIU bases appointment decisions on search committee recommendations rather than a vote of the eligible faculty. In such cases, the recommendation to the TIU head is the responsibility of the search committee.)*

  For appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), the eligible faculty consists of all tenure-track faculty in the TIU. *[Regardless of whether a TIU bases appointment decisions on search committee recommendations or a vote of the eligible faculty, the following action must be taken:]* A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested.

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

- For the reappointment and promotion and tenure reviews of assistant professors, the eligible faculty consists of all tenured associate professors and professors.

- For the promotion and/or tenure reviews of associate professors and the tenure reviews of probationary professors, the eligible faculty consists of all tenured professors.

#### 2 Professional Practice Faculty

**Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of a professional practice assistant professor , the eligible faculty consists of all tenure-track faculty and all professional practice in the TIU.

  *(The bullet above is not applicable if the TIU bases appointment decisions on search committee recommendations rather than a vote of the eligible faculty. In such cases, the recommendation to the TIU head is the responsibility of the search committee.)*

- For appointment (hiring or appointment change from another faculty type) at senior rank (professional practice associate or professional practice professor), the eligible faculty consists of all tenure-track and all professional practice faculty in the TIU. [*Regardless of whether a TIU bases appointment decisions on search committee recommendations or a vote of the eligible faculty, the following action must be taken:*] A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested, and all non-probationary professional practice faculty of equal or higher rank than the position requested.

**Reappointment, Contract Renewal, and Promotion Reviews**

- For the reappointment, contract renewal, and promotion reviews of professional practice assistant professors, the eligible faculty consists of all tenured associate professors and professors, and, if permitted by vote of the TIU's tenure-track faculty, all non-probationary professional practice associate professors and professional practice professors.

- For the reappointment, contract renewal, and promotion reviews of professional practice associate professors, and the reappointment and contract renewal reviews of professional practice professors, the eligible faculty consists of all tenured professors and, if permitted by vote of the TIU's tenure-track faculty, all non-probationary professional practice professors.

3 **Research Faculty**

**Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of a research assistant professor, the eligible faculty consists of all tenure-track faculty, all research faculty and, if permitted by vote of the TIU's tenure-track faculty, all professional practice faculty in the TIU.

  *(The bullet above is not applicable if the TIU bases appointment decisions on search committee recommendations rather than a vote of the eligible faculty. In such cases, the recommendation to the TIU head is the responsibility of the search committee.)*

- For appointment (hiring or appointment change from another faculty type) at senior rank (research associate professor or research professor), the eligible faculty consists of all tenure-track and all research faculty, and, if permitted by vote of the TIU's tenure-track faculty, all professional practice faculty in the TIU. *[Regardless of whether a TIU bases appointment decisions on search committee recommendations or a vote of the eligible faculty, the following action must be taken:]* A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested and all non-probationary research faculty of equal or higher rank than the position requested.

**Reappointment and Contract Renewal**

- For the reappointment and contract renewal of research assistant professors, the eligible faculty consists of all tenured associate professors and professors and, if permitted by vote of the TIU's tenure-track faculty, all non-probationary research associate professors and research professors.

- For the reappointment and contract renewal of research associate professors and the reappointment and contract renewal reviews of research professors, the eligible faculty consists of all tenured professors and all non-probationary research professors.

**Promotion Reviews**

- For the promotion reviews of research assistant professors, the eligible faculty consists of all tenured associate professors and professors and all nonprobationary research associate professors and professors.

- For the promotion reviews of research associate professors, the eligible faculty consists of all tenured professors and all nonprobationary research professors.

4 **Associated Faculty**

**Initial Appointment, Reappointment, and Contract Renewal**

1) Initial appointment (hiring or appointment change from another faculty type), reappointment, and contract renewal of associated faculty members are decided by the TIU head in consultation with the eligible faculty.

(*The bullet above is not applicable if initial appointment, reappointment, and contract renewal are decided by the TIU head following a vote of the eligible faculty. On initial appointment, eligible faculty are all those with practice titles and all tenure-track faculty members. For reappointments and contract renewals, the eligible faculty are all those with non-probationary practice titles and all tenured faculty members of equal or higher rank than the candidate.)*

Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary practice faculty and tenured faculty of equal or higher rank than the position requested) and prior approval of the college dean.

**Promotion Reviews**

- Associated faculty are eligible for promotion but not tenure if they have adjunct titles, tenure-track titles with service at 49% FTE or below, practice titles, and lecturer titles.

For the promotion reviews of associated faculty with tenure-track titles, the eligible faculty shall be the same as for tenure-track faculty as described in Section III.A.1 above.

For the promotion reviews of associated faculty of practice faculty, the eligible faculty shall be the same as for practice faculty as described in Section III.A.2 above.

The promotion of a lecturer to senior lecturer is decided by the TIU head in consultation with the eligible faculty.

### 5 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 or success for their own success, has a close professional relationship with the candidate (dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from a promotion or reappointment review of that candidate.

### 6 Minimum Composition

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

## B Promotion and Tenure Committee

The college has a Promotion and Tenure Committee that reviews the promotion, tenure and reappointment or renewal of college faculty and provides an evaluative assessment to the dean. The committee's assessment is advisory to the dean. The college committee provides a vote regarding promotion and/or tenure and consensus that all earlier review processes met written university, college, and tenure initiating unit's procedures. The quorum consists of 3 members of the College Promotion and Tenure Committee. The committee's membership shall be as outlined in the college's Pattern of Administration. The term of service is three years, with reappointment possible.

When considering cases involving professional practice faculty, the Promotion and Tenure Committee may be augmented by two non-probationary eligible professional practice faculty members.

When considering cases involving research faculty, the Promotion and Tenure Committee may be augmented by two non-probationary eligible research faculty members.

## C Quorum

The quorum required to discuss and vote on all personnel decisions within a TIU is determined by each TIU. Eligible faculty includes those not on an approved leave of absence. Faculty on approved leave or Special Assignment are not considered for quorum unless they declare, in advance, in writing, of intent to participate in all proceedings.

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

Faculty who did not attend the entire discussion of a particular case are not permitted to vote on that case. Faculty members who are not present cannot vote *in absentia* unless they participate by conference call or video link.

## D Recommendation from the Committee of the Eligible Faculty

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

Absentee ballots and proxy votes are not permitted, but participating in discussion and voting via remote two-way electronic connection is allowed.

#### 1 Appointment

In the Strategic Hiring Initiative for Faculty Talent (SHIFT) Framework for faculty recruitment, search committees make their recommendations to the TIU head. For those units that incorporate a faculty vote in their overall recommendation, the portion of positive votes required to receive a positive recommendation needs to be determined by the TIU.

- In the case of candidates being considered for appointments with partial FTEs in more than one department, school or college (jointly appointed faculty), the TIU of a jointly appointed candidate must seek input from the joint-appointment TIU prior to the appointment of that candidate, and will develop an MOU with expectations from the second department, school or college prior to the appointment of that candidate.

#### 2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is determined by each TIU and defined in its APT document.

- In the case of jointly appointed faculty, a positive recommendation is determined by the TIU holding the primary (majority) appointment and defined by the APT document of this TIU. The TIU of a jointly appointed candidate must seek input from the joint-appointment unit prior to the reappointment, promotion and/or tenure, or contract renewal of that candidate.

## IV Appointments

### A TIU APT Document Expectations

For each type of faculty appointment (tenure track faculty, jointly appointed tenure track faculty, associated faculty, courtesy appointment for faculty, professional practice faculty and research faculty [for TIUs in which such appointments have been approved], or tenure track or professional practice faculty at regional campuses), a TIU's APT document must describe: (1) the unit's criteria for making such an appointment, (2) the evidence to be provided in support of such an appointment, and (3) the unit's procedures for making such an appointment. It is the expectation of the college that a faculty appointment forwarded from a TIU for approval by the college or a courtesy faculty appointment made by a TIU will have been made consistent with that TIU APT document, and other relevant policies, procedures, practices, and standards established by the college, the Rules of the University Faculty, the Office of Academic Affairs, and the Office of Human Resources.

Each TIU's APT document must describe the process by which a newly appointed probationary faculty member will receive mentorship support throughout the probationary period. The mentorship process may vary by TIU or take advantage of the CoE Mentoring program. However, at a minimum, the TIU's APT document must specify expectations for the mentors and mentees with respect to the mentorship process.

### B Criteria

The college is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of its TIUs. Important considerations for TIUs include an individual's record to date in teaching, scholarship and service, as appropriate; the potential for professional growth in each of these areas, as appropriate; and the potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty and students to the TIU or TIUs (in the case of joint appointments). No offer will be extended if the search process does not yield one or more candidates who

would enhance the quality of the TIU(s). With college approval, the search is either cancelled or continued, as appropriate to the circumstances.

The college encourages joint faculty appointments that enhance the quality of more than one TIU. In these cases, a joint appointee will always have his/her/their primary appointment in one of the units. Important considerations in undertaking a joint appoint is agreement by the TIU and other appointing unit(s) in their assessment that the individual's record and potential for professional growth in teaching, scholarship, and/or service will be mutually beneficial to the TIU and other appointing unit(s), will serve as a nexus for interdisciplinary work, and whose interactions with colleagues and students will enhance the units' academic work and attract other outstanding faculty. The expectation is that regardless of rank, a joint hire is a sign of a high level of collaboration between units and a willingness to foster the career of an individual who may not follow a disciplinary mode of scholarship.

A current curriculum vitae for all faculty members, including associated faculty members, must be kept in each TIU.

The appointment of all compensated tenure-track, professional practice, research, and associated faculty, irrespective of rank, must be based on a formal search process following the SHIFT Framework for faculty recruitment.

All faculty positions must be posted in Workday, the university's system of record for faculty and staff. A formal review and selection process, including interviews using pre-designed evaluation rubrics, is required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in Workday to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

## 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. Procedures for appointment are identical to that of assistant professor. TIUs will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. 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. (Faculty Rule 3335-6-03).

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 TIU's eligible faculty, the TIU head, 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 once granted except through an approved request to exclude time from the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

**Assistant Professor.** There must be clear and convincing evidence that the offeree of an appointment as a tenure track assistant professor has, at a minimum an earned doctorate, or other terminal degree, in the relevant field of study or possession of equivalent experience; potential for excellence in teaching, as demonstrated by a record of quality teaching and/or excellence in verbal and written communication; a potential for excellence in scholarship as demonstrated by having produced a body

of research, scholarly and creative work appropriate to the TIU discipline(s); potential to perform effective service, including a commitment to good citizenship and collegiality within the TIU; strong potential to attain tenure and advance through the faculty ranks. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the TIU's Promotion and Tenure Committee (or the TIU of the primary appointment in the case of jointly appointed faculty) determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted except through an approved request to exclude time from the probationary period.

**Associate Professor.** Appointment offers at the rank of Associate Professor and offers of prior service credit require prior approval of the Office of Academic Affairs.

There must be clear and convincing evidence that the offeree of an appointment as an associate professor with or without tenure has, at a minimum exceeded the college and TIU criteria for appointment as a tenure track assistant professor and met or exceeded the college and TIU (or primary appointment TIU for jointly appointed faculty) criteria for promotion to associate professor with tenure. In addition, a TIU APT document must address how an offeree, who has not held a faculty position, will be determined to have met the criteria. Appointment at the rank of associate professor normally entails tenure, however a probationary appointment at senior rank may be appropriate under certain circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Offers to foreign nationals require prior consultation with the Office of International Affairs.

**Professor.** Appointment offers at the rank of Professor and offers of prior service credit require prior approval of the Office of Academic Affairs.

There must be clear and convincing evidence that the offeree of an appointment as a professor with tenure has, at a minimum exceeded the College and TIU (or primary appointment TIU for jointly appointed faculty) criteria for appointment as an associate professor with tenure and met or exceeded the College and TIU criteria for promotion to professor. In addition, a TIU APT document must address how an offeree who has not held a faculty position will be determined to have met the criteria.

Appointments at the rank of professor without tenure should not occur.

Offers to foreign nationals require prior consultation with the Office of International Affairs.

## 2 Professional Practice Faculty

Professional Practice Faculty in the College of Engineering will be referred to as "Professional Practice Assistant, Associate, or Professor." Distinctions among ranks are based on the level of distinction attained by the candidate.

Criteria and policies governing appointment of professional practice faculty must be consistent with Faculty Rule 3335-7. Reappointment is based on the candidate's performance and on the continued needs of the TIU.

Professional practice faculty may participate with voting rights in matters of governance and committee service at the College level, except that they cannot participate or vote on promotion and tenure matters of tenure track faculty (Faculty Rule 3335-7-04(A)) or the promotion of research faculty (Faculty Rule 3335-7-11(D)). Each TIU approved for professional practice faculty must have a Pattern of Administration (POA) that describes the governance rights to be extended within the TIU to such faculty members.

Appointment of professional practice faculty entails a three- to eight-year contract depending on rank and probationary status. The initial contract is five years and probationary, with reappointment considered annually. Second and subsequent contracts for assistant and associate professional practice faculty are non-probationary and entail a three-to-five-year contract. Second and subsequent contracts for professional practice professors may entail a three-to-eight-year contract. Tenure is not granted to professional practice faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance.

**Professional Practice Assistant Professor**. At least an earned master's degree, with a doctoral degree being preferred, or appropriate professional accomplishments demonstrating expertise in their areas of specialization, a minimum of five years of experience in the workplace, and the required licensure/certification in their areas of specialization as the minimum requirements. There must be clear and convincing evidence that the offeree of an appointment as professional practice assistant has, at a minimum, (i) exemplary capability in the offeree's areas of specialization, (ii) significant experience in the practice of the discipline, (iii) demonstrated professional accomplishment, (iv) potential to support student and program development in the offeree's areas of expertise, (v) potential for excellence in teaching, as demonstrated by a record of quality teaching and/or excellence in verbal and written communication, and (vi) potential to perform effective service, including a commitment to good citizenship and collegiality within the TIU. Professional publications or actual teaching experience are not required, but either or both would strengthen the offeree's qualifications.

**Professional Practice Associate Professor**. There must be clear and convincing evidence that the offeree of an appointment as a professional practice associate professor has, at a minimum, exceeded the college and TIU criteria for appointment as a professional practice assistant professor and has met or exceeded the college and TIU criteria for promotion to professional practice associate professor. A TIU APT document must address how an offeree will be determined to have met the criteria.

**Professional Practice Professor.** There must be clear and convincing evidence that the offeree of an appointment as a professional practice professor has, at a minimum, exceeded the college and TIU criteria for appointment as a professional practice associate professor and has met or exceeded the college and TIU criteria for promotion to professional practice professor. A TIU APT document must address how an offeree will be determined to have met the criteria.

### 3 Research faculty

Research faculty in the College of Engineering will be referred to as "Research Assistant, Associate, or Professor". Distinctions among ranks are based on the level of distinction attained by the candidate.

Criteria and policies associated with research faculty appointments must be consistent with Faculty Rule 3335-7. Research faculty members may participate with voting rights in matters of governance and committee service at the college level, except that they cannot participate or vote on promotion and tenure matters of tenure track faculty or professional practice faculty (Faculty Rule 3335-7-37). Each TIU approved for research faculty must have a Pattern of Administration (POA) that describes the governance rights to be extended within the TIU to such faculty members.

Appointment of research faculty 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 TIU 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 and OAA's Policy on Faculty Annual Review and Reappointment.

**Research Assistant Professor**. There must be clear and convincing evidence that the offeree of an appointment as research assistant professor has, at a minimum, a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program.

**Research Associate Professor.** There must be clear and convincing evidence that the offeree of an appointment as a research associate professor has, at a minimum exceeded the college and TIU criteria for appointment as a research assistant professor and has met or exceeded the college and TIU criteria for promotion to research associate professor. A TIU APT document must address how an offeree will be determined to have met the criteria.

**Research Professor**. There must be clear and convincing evidence that the offeree of an appointment as a research professor has, at a minimum exceeded the college and TIU criteria for appointment as a research associate professor and has met or exceeded the college and TIU criteria for promotion to research professor. A TIU APT document must address how an offeree will be determined to have met the criteria.

## 4 Associated Faculty

In the College of Engineering, associated faculty are persons with adjunct titles, visiting titles, and lecturer titles. Professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than fifty per cent service to the university are also associated faculty members. Persons with tenure track, professional practice, or research faculty titles may not hold associated titles. Persons holding associated titles are not eligible for tenure and may not participate in the promotion and tenure reviews of tenure track, professional practice , or research faculty. Persons with associated titles are permitted to participate in college governance and TIU governance where approved by a vote of at least a majority of all of its tenure track faculty, and also professional practice faculty and research faculty in those units where they have been given voting rights.

Associated faculty appointments may be as short as two weeks to assist with a focused project, a semester to teach one or more courses, or for up to three years when a longer contract is useful for long-term planning and retention. Associated faculty may be reappointed (Faculty Rule 3335-5-19).

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments are uncompensated. Adjunct faculty appointments are appropriate only for individuals who provide substantial service to the academic or research mission of the appointing unit. Units should establish guidelines for the circumstances in which such associated faculty may identify themselves as Ohio State faculty. Typically, the adjunct faculty rank is determined by applying the criteria for appointment of tenure track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure track, professional practice, or research faculty, as appropriate to the appointment.

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure track titles is for individuals at 49% FTE or below and compensated (1 – 49% FTE). The rank of

associated faculty with tenure track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

**Lecturer.** Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed one year. Exceptions to lecturer and senior lecturer appointment requirements may be granted by review and approval of the college and OAA. Subsequent appointments may be of longer duration.

**Senior Lecturer.** Appointment as senior lecturer requires that the individual have a terminal degree in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer should generally not exceed one year. Subsequent appointments may be of longer duration. Exceptions to senior lecturer appointment requirements may be granted by review and approval of the college and OAA.

**Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.** Visiting faculty appointments are compensated. 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. Visiting faculty members are not eligible for tenure or promotion. Visiting faculty appointments may be renewed annually for only three consecutive years.

### 5 Regional Campus Faculty

As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria for appointment at the tenure-track ranks of assistant professor, associate professor, and professor are similar to those for Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and quality.

Regional campus criteria for the appointment of professional practice faculty, research faculty, and associated faculty are the same as those for Columbus campus faculty in each of these categories.

### 6 Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule 3335-5-36. Full-time tenure track, professional practice, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the TIU head (regional campus dean for associated faculty on regional campuses) outlining academic performance and citizenship. The faculty eligible to conduct promotion reviews within the requestor’s appointment type (see Section III.A.1-4) will review the application and make a recommendation to the TIU head. The TIU head will decide upon the request, and if appropriate submit it to the dean, who will forward a recommendation to the executive vice president and provost. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or

policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule 3335-05-04, emeritus status will not be considered.

See the OAA *Policies and Procedures Handbook* Volume 1, Chapter 1, for information about the types of perquisites that may be offered to emeritus faculty, provided resources are available.

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

### 7 Courtesy Appointments for Faculty

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

## C Procedures

See the Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments for information on the following topics:

- recruitment of tenure track, professional practice, and research faculty
- appointments at senior rank or with prior service credit
- hiring faculty from other institutions after April 30
- appointment of foreign nationals
- letters of offer

### 1 Tenure Track Faculty on the Columbus Campus

A national search is required to ensure a pool of highly qualified candidates for all tenure-track positions. This includes all external candidates for all faculty positions. The only exception is for dual career partners, as described in Chapter 5, section 4.1 of the *Policies and Procedures Handbook.* TIUs must seek a waiver to this policy from the college and the Office of Academic Affairs in advance of starting an interview process for a dual career hire. Search procedures must entail substantial faculty involvement and be consistent with the OAA Policy on Faculty Recruitment and Selection and the SHIFT framework.

Within all TIUs of the college, searches for tenure track faculty proceed as follows:

The dean of the college provides approval for the TIU to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise, and may or may not include guidance on faculty with the potential for appointments to more than one academic unit.

The TIU head appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the TIU.

Prior to any search, members of all search committees must undergo the trainings identified in the Strategic Hiring Initiative for Faculty Talent (SHIFT) Framework for faculty recruitment. In addition, all employees/faculty involved in the hiring and selection process must review and acknowledge the EEO Recruitment and Selection Guidelines in the BuckeyeLearn system.

The SHIFT Framework will serve as a centrally coordinated guideline and toolkit to support the entire process of faculty recruitment with clear engagement from all participating stakeholders involved in the faculty hiring process. This framework is intended to provide faculty engaged in search committees and staff providing support services with the tools and foundations needed to attract excellent applicant pools, conduct consistent and equitable evaluations, and successfully hire and properly onboard new faculty members who will continue our tradition of academic excellence. This framework consists of six phases, each targeting a specific stage of the recruitment process:

- "Phase 1 | Search Preparation & Proactive Recruitment" is the earliest stage in the search process. Key steps during this phase include determining faculty needs for the unit, creating a search strategy (including timeline), establishing a budget, and identifying additional partners to include in the process. The steps in this phase provide guidance on forming committees, detail training requirements for search committee members, and innovative approaches to advertising and outreach. This section also includes ideas and resources for developing qualified talent pools to ensure alignment with university and unit EEO goals and advance the eminence of the institution.

  Those chosen to serve as committee members in TIUs in the College of Engineering must exemplify the University's core values of care, compassion, integrity, and respect. Those who do not reflect these values should not be selected.

  In addition, individuals need to participate in initiatives that promote our shared values and contribute to community building. Examples include optional university learning programs, including Better Mentoring = Better Science.

  First-Time Committee Chairs should have prior experience:
  - First-time chairs have served on at least two previous faculty search committees at the University.
  - If this requirement cannot be met, they must arrange a meeting with the College of Engineering's Faculty Recruitment team for guidance and support.

- "Phase 2 | Preliminary Review of Applicants" focuses on best practices for the application review and candidate screening processes. The guidelines and resources in this section support consistency and fairness in the review, assessment, and selection of candidates moving forward in the recruitment process. This section also outlines how to select a list of candidates for on-campus interviews.

- "Phase 3 | Finalists Interviews & Evaluations" provides guidance and tools for conducting interviews and campus visits, requesting reference letters (if used, they should be requested at this stage; note that reference letters or reference checks are required for all procedures that require SHIFT and dual career hires), and collecting feedback from everyone who interacted with the candidates. Adherence to the guidelines outlined in this section has a direct impact on enhancing the candidate experience and ensuring a consistent evaluation process. This phase concludes with the submission of a letter from the search committee to the TIU chair/director.

- "Phase 4 | Extend Offer" provides guidance and resources related to effectively selecting the most qualified candidate(s) for the position(s) and successfully negotiating to result in an accepted offer. If using reference checks, work with talent acquisition to do that for candidates receiving offers.

- "Phase 5 | Preboard and Onboard" offers resources to help prepare and support new faculty as they transition to Ohio State. The suggestions in this phase focus on creating a seamless transition for incoming faculty and their partners/families, if applicable.

- "Phase 6 | Reflect and Assess the Search" is a process supported by OAA to reflect on the hiring cycle each year and evaluate areas that may need improvement and additional support.

Subject to specific TIU procedures, following completion of virtual/on-campus interviews, the search committee presents the campus interview scores and other collected feedback to the eligible faculty for a discussion and vote. The vote of the eligible faculty will be included in the final debrief report and the search committee reports a recommendation on each candidate to the TIU head of each unit. The head(s) of the minority unit(s) then convey(s) their preference to the TIU head of the primary appointing TIU.

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

In the event that more than one candidate achieves the level of support required to extend an offer, the TIU head of the primary appointing TIU decides which candidate to approach first. The details of the offer, including compensation, are determined by the TIU head of the primary appointment TIU.

The following must be submitted to the CoE as part of the offer package for tenure-track faculty for approval by the dean:

1. A draft letter of offer
2. CoE New Faculty Finance and Responsibilities to a tenure-track faculty candidate
3. Candidate's curriculum vitae
4. Candidate's teaching and mentoring statement
5. Candidate's research statement
6. A signed Start-Up Commitment Worksheet (if there is start-up)
7. Appropriate letters or reference check attesting to the candidate's qualifications
8. The SHIFT Search Strategy Report
9. Other items as noted on the college's current offer package checklist. For example, joint appointments require a fully executed MOU to accompany these materials.

Engineering Administration will review the offer package for consistency with the essential components required by OAA and the college. The required documentation for appointments at senior rank and junior appointments with prior service credit can be found in the Policy on Faculty Recruitment and Selection.

TIUs are advised to discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the Office of International Affairs. An MOU must be signed by faculty eligible for tenured positions who are not U.S. citizens or nationals, permanent residents, asylees, or refugees.

## 2 Professional Practice Faculty on the Columbus Campus

Creation of a professional practice faculty position requires the prior approval of the dean and should be motivated by a desire to enhance the teaching program of the TIU, the TIU's connection with practice, or the need for additional leadership capacity in academic program development.

Searches for professional practice faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the virtual/on-campus interview is on teaching or practice.

A national search may be waived with the approval of OAA if the candidate for the professional practice faculty position already works at Ohio State as staff with instructional duties. Likewise, letters and reference checks are not required.

The following must be submitted to the CoE as part of the offer package for professional practice faculty for approval by the dean:

1. A draft letter of offer
2. CoE New Faculty Finance and Responsibilities to a professional practice faculty candidate
3. Candidate's curriculum vitae
4. Candidate's teaching and mentoring statement
5. A signed Start-Up Commitment Worksheet (if there is start-up)
6. Appropriate letters or reference check attesting to the candidate's qualifications
7. The SHIFT Search Strategy Report Other items as noted on the college's current offer package checklist. For example, joint appointments require a fully executed MOU to accompany these materials.

Engineering Administration will review the draft letter of offer package for consistency with the essential components required by OAA and the college. Appointments at the rank of professional practice associate professor or professional practice professor require approval of the Office of Academic Affairs. For such appointments, the dean may consult with the College Promotion and Tenure Committee.

## 3 Research Faculty on the Columbus Campus

Creation of a research faculty position requires prior approval of the dean and should be motivated by a desire to enhance the research program of the TIU, the TIU's connection with research, or the need for additional leadership capacity in research.

Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that during the virtual/on-campus interview the candidate is not asked to teach a class.

A national search may be waived with the approval of OAA if the candidate for the research faculty position already works at Ohio State as a research scientist. Likewise, letters and reference checks are not required.

The following must be submitted to the CoE as part of the offer package for research faculty for approval by the dean:

1. A draft letter of offer

2. CoE New Faculty Finance and Responsibilities to a research faculty candidate
3. Candidate's curriculum vitae
4. Candidate's research statement
5. A signed Start-Up Commitment Worksheet (if there is start-up)
6. Appropriate letters or reference check attesting to the candidate's qualifications
7. The SHIFT Search Strategy Report
8. Other items as noted on the college's current offer package checklist. For example, joint appointments require a fully executed MOU to accompany these materials.

Engineering Administration will review the draft letter of offer package for consistency with the essential components required by OAA and the college. Appointments at the rank of research associate professor or research professor require approval of the Office of Academic Affairs. For such appointments, the dean may consult with the College Promotion and Tenure Committee.

### 4 Transfer from the Tenure track

Tenure track faculty may transfer to a professional practice or research appointment if appropriate to the individual's circumstances, and the transfer will further the interests of the college and TIU in question. A TIU that permits transfers from tenure-track to professional practice or research appointments must explicitly enable this in its Appointments, Promotion and Tenure document. All such transfers are subject to the conditions specified in Faculty Rule 3335-7-09 for professional practice faculty and Faculty Rule 3335-7-38 for research faculty, as well as to the TIU and college limits on the number of professional practice faculty and research faculty. Tenure or tenure eligibility is lost upon transfer, and transfers must be approved by the TIU head, the dean, and the executive vice president and provost.

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

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

### 5 Associated Faculty on the Columbus Campus

The appointment of compensated associated faculty members follows a formal search following the SHIFT Framework, which includes a job posting in Workday (see Section IV.B above) and candidate interviews. The appointment is then decided by the TIU head based on recommendation from the search committee.

The reappointment of all compensated associated faculty members is decided by the TIU head in consultation with the faculty.

Compensated associated appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the TIU and are decided by the TIU head in consultation with the faculty.

Visiting appointments may be made for one term of up to three years or on an annual basis for up to three consecutive years.

Lecturer and senior lecturer appointments are made for one to three years, and rarely semester by semester. Note that if appointment is for less than three years, recruited lecturers are not eligible for relocation reimbursements; they are not eligible for temporary housing.

All associated appointments expire at the end of the appointment term and must be formally renewed to be continued.

### 6 Regional Campus Faculty

The appointment of all compensated regional campus faculty follows a formal search following the SHIFT Framework, with the exception of the composition of the search committee, as approved for the College of Engineering by the Office of Academic Affairs. See Appendix C for information about regional campus search committees, the position description, and the identification of a candidate's TIU.

Searches for regional campus faculty will be performed by procedures like those used for tenure-track faculty on the Columbus campus.

Candidates are interviewed by, at a minimum, the regional campus dean, TIU head, and regional campus search committee. The regional campus may have additional requirements for the search not specified in the TIU's APT document. A decision to make an offer requires agreement by the TIU head and regional campus dean. Until agreement is reached, negotiations with the candidate may not begin, and the letter of offer must be signed by the TIU head of all proposed TIU appointments and the regional campus dean. See Appendix C for more information on the letter of offer.

### 7 Courtesy Appointments for Faculty

Subject to specific TIU procedures, any faculty member within a TIU may propose an unpaid (courtesy) appointment for a tenure- track professional practice, or research faculty member from another Ohio State unit. A statement of purpose that describes the uncompensated academic service to the TIU justifying the appointment is considered at a faculty meeting. If the purpose is approved by the eligible faculty, the TIU head extends an offer of appointment. A copy of a letter of offer of a courtesy appointment for faculty, accompanied by the candidate's curriculum vitae, must be submitted to Engineering Administration at the time an offer is made. The TIU head reviews all courtesy appointments at least every three years to determine whether they continue to be justified and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

## V Annual Performance and Merit Review Procedures

The annual performance and merit review of every compensated faculty member is the responsibility of the appropriate TIU head of the primary TIU to which the faculty member is appointed. The college and its TIUs follow the requirements for annual performance and merit reviews as set forth in the University Policy on Faculty Annual Review and Reappointment. The review is based on:

- expected performance in teaching, research, creative work and scholarship, and service as set forth in college and TIU guidelines on faculty duties and responsibilities;
- any additional assignments and goals specific to the individual;
- progress toward promotion where relevant; and,
- activities that enhance the nurturing culture of the college and TIU, in keeping with the values of the university and college.

- Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.

- Annual performance and merit reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment. In the case of jointly appointed faculty, the face-to-face meeting is to include the TIU head and/or designees for all the TIUs to which the faculty member is appointed, while the written evaluation is to be prepared by the primary TIU head or designee and may be signed by all of the TIU head or designees present at the meeting.

Each TIU's APT document must describe the unit's schedule and procedures for conducting annual reviews, including guidance on inclusion of material from secondary appointment TIUs in the case of jointly appointed faculty. Annual reviews are expected to provide a written objective assessment of the candidate's progress in teaching, scholarship and service, and for jointly appointed faculty, to evaluate progress relative to the expectations of each TIU to which the faculty member is appointed. Per Faculty Rule 3335-3-35, the TIU head is required to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file. Each TIU's APT document must include provisions for managing any actual or perceived conflicts of interest (cf. § III.A.5) in conducting annual reviews.

It is the expectation of the college that an annual performance and merit review conducted by a TIU will also be consistent with that TIU's APT document (or documents, in the case of jointly appointed faculty), and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

The dean must assess an annual performance and merit review when a TIU has submitted (1) a Report of Non-Renewal of Probationary Appointment of Faculty; (2) the fourth-year review of a probationary faculty member; or (3) a Report of Contract Renewal or Non-Renewal for clinical/teaching/practice faculty or research faculty. In each of these cases, the decision of the dean is final.

### A Documentation

For their annual performance and merit review, the college requires faculty members to submit the following documents to their TIU head no later than the final day of autumn semester classes:

- Office of Academic Affairs dossier outline, *Policies and Procedures Handbook*, Volume 3 (*required for probationary faculty*) or updated documentation of performance and accomplishments (*non-probationary faculty*)
- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)

Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. The specific documentation requirements in the areas of teaching, research, creative work, scholarship and service are to be determined by the primary appointment TIU, with the understanding that joint appointments may require some agreed flexibility with the consensus of the TIU head. That documentation is described in Section VI of this document.

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

Additional details on annual and promotion reviews for faculty hired under the Discovery Theme initiative are provided in the appointment MOU.

For all probationary faculty, it is the expectation that (1) annual review letters will serve as annual reappointment letters and (2) a copy will be forwarded to the college.

## B Probationary Tenure-Track Faculty

Every probationary tenure-track faculty member is reviewed annually by the TIU head, who meets with the faculty member to discuss their performance, plans, and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. A face-to-face meeting of the candidate with the TIU head to discuss the annual review is required. In the case of jointly appointed faculty, the head of all units within the college to which the faculty member has been appointed must meet simultaneously with the faculty member in this meeting. The meeting must also include some discussion of the relative requirements and progress for each TIU relative to the percent appointment to the TIU. The role of any other faculty member in the annual review of probationary faculty must be described in the relevant TIU's APT document and must be consistent with college and university rules.

If the TIU head of the TIU holding the primary appointment recommends renewal of the appointment, this recommendation is final. The TIU head's annual review letter to the faculty member renews the probationary appointment for another year and includes content on plans and goals. In the case of jointly appointed faculty, this letter should include input from all the appointed units. In the case of jointly appointed faculty, this evaluation is to be signed by all heads of units to which the faculty member has been appointed if within the college. The faculty member may provide written comments on the review. The TIU head's letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if the faculty member chooses).

If the TIU head recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-03) 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.

### 1 Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean (not the TIU head) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

Annually, the dean will establish the latest date for the receipt by the college of dossiers from TIUs for candidates undergoing fourth year reviews. The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty of the primary appointment TIU votes by written ballot on whether to renew the probationary appointment. The eligible faculty forwards a record of the vote and a written performance review to the TIU head, who, in consultation with the heads of the secondary appointment units (if applicable), conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the TIU's review, the formal comments process (per Faculty Rule 3335-6-04) is followed and the case is forwarded to the college for review, regardless of whether the primary appointment TIU head recommends renewal or nonrenewal.

A review by the College Promotion and Tenure Committee is required unless the primary appointment TIU head and dean agree to reappoint. The Fourth-Year Review of a probationary faculty member shall not require the solicitation of external letters of evaluation except when either the TIU head or the eligible faculty determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the scholarship without outside input. In the case of jointly appointed faculty, the head(s) of the secondary appointment(s) unit should be consulted as an additional source of evaluation in determining whether outside letters should be solicited.

The written evaluation from the primary appointment TIU head must clearly provide justification for the recommendation to the college and should be prepared in consultation with heads of all units to which the faculty member has been appointed. If the secondary unit is within the college, the letter must be signed by the head of all unit to which the faculty member has been appointed. The primary appointment TIU head must clearly state in the review the expectations of specific achievements in teaching, research or creative work, scholarship and service that the faculty member needs to accomplish before being recommended for promotion to associate professor with tenure.

### 2 Exclusion of Time from Probationary Period

Faculty Rule 3335-6-03 (D) sets forth the conditions under which a probationary tenure track faculty member may exclude time from the probationary period. Faculty Rule 3335-6-03 (F) does likewise for extensions of the probationary period. A faculty member remains on duty regardless of time excluded from, or extended to, the probationary period, and annual reviews are conducted in every probationary year regardless of time excluded or extended. Approved exclusions or extensions do not limit the TIU's right to recommend nonrenewal of appointment during an annual review. Additional procedures and guidelines can be found in the Office of Academic Affairs Policies and Procedures Handbook.

## C Tenured Faculty

Associate professors are reviewed annually by the TIU head. The TIU head conducts an independent assessment; meets with the faculty member to discuss their performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

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

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

In the case of jointly appointed faculty, these reviews should include assessments from all units to which the faculty member has been appointed within the college.

## D Professional Practice Faculty

The annual performance and merit review process for probationary and non-probationary professional practice faculty is identical to that for tenure-track probationary and tenured faculty respectively, including guidance for jointly appointed faculty, except that non-probationary professional practice faculty may participate in the review of professional practice faculty of lower rank.

## 1 Annual Performance and Merit Review for Probationary Professional Practice Faculty

For probationary professional practice faculty, a meeting with the primary appointment TIU head is required to discuss their performance, future plans, and goals. The primary appointment TIU head must prepare a written evaluation that includes a recommendation on whether to renew the appointment. In the case of jointly appointed faculty, this evaluation is to be prepared in consultation with heads of any secondary appointment units and is to be signed by all heads of units to which the faculty member has been appointed if within the college.

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

If the primary appointment TIU head recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-03) 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.

## 2 Appointment Renewal (Contract Renewal) for Professional Practice Faculty

In the penultimate contract year of a professional practice faculty member's appointment, the primary appointment TIU head must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 must be observed. There is no presumption of contract renewal.

**Probationary** professional practice faculty must undergo a review no later than the beginning of the penultimate year of their contract, so the unit may determine whether it is appropriate to renew that individual's appointment for a new term. The review will follow the same procedures as the fourth-year review process for probationary tenure-track faculty described above and concurrently with the probationary tenure-track faculty. External letters of evaluation are not solicited. The college dean has the final approval on the reappointment. Positive decisions will be approved by OAA without a review, and this decision is communicated to OAA using only the Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form with no attachments. The Board of Trustees (BOT) has final approval, after which the faculty member is no longer probationary.

If the individual will not be renewed, the faculty member should be so informed, subject to the relevant standards of notice set forth in Faculty Rule 3335-6-08.

**Non-probationary** professional practice faculty must be informed as to whether the new appointment will be extended by the end of the penultimate year of their appointment period. The normal annual performance and merit review will serve as the basis for evaluation. An initial decision from the TIU head to reappoint is final. A copy of the annual review, a draft renewal letter, the Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form with no attachments, and a recommendation letter from the TIU head will be sent to the college for review. An initial decision not to reappoint requires a review by a TIU standing committee and requires the concurrence of the dean. All reappointment decisions are at the discretion of the dean. There is no presumption of contract renewal.

Whether probationary or nonprobationary, criteria for reappointment align with the role of professional practice faculty: a professional practice faculty member demonstrates exemplary capability in their areas of specialization, excellence in teaching, support for student and program development in their areas of expertise, and effective service, and is an effective bridge between practice and academia.

## E Research Faculty

The annual performance and merit review process for research probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty except that non-probationary research and professional practice faculty may participate in the review of research faculty of lower rank.

### 1 Annual Performance and Merit Review for Probationary Research Faculty

For probationary research faculty, a meeting with the primary appointment TIU head is required to discuss their performance, plans, and goals. The primary appointment TIU head must prepare a written evaluation that includes a recommendation on whether to renew if the appointment. In the case of jointly appointed faculty, this evaluation is to be prepared in consultation with heads of any secondary appointment units and is to be signed by all heads of units to which the faculty member has been appointed if within the college.

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

A recommendation for nonrenewal requires the approval of both the primary appointment TIU Head and the dean. The dean makes the final decision.

### 2 Appointment Renewal (Contract Renewal) for Research Faculty

In the penultimate contract year of a research faculty member's appointment, the TIU Head must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 must be observed. There is no presumption of contract renewal.

**Probationary** research faculty must undergo a review no later than the beginning of the penultimate year of their contract, so the unit may determine whether it is appropriate to renew that individual's appointment for a new term. The review will follow the same procedures as the fourth-year review process for probationary tenure-track faculty as described above and concurrently with the probationary tenure-track faculty. External letters of evaluation are not solicited. The college dean has the final approval on the reappointment. Positive decisions will be approved by OAA without a review, and this decision is communicated to OAA using only the Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form with no attachments. The Board of Trustees (BOT) has final approval, after which the faculty member is no longer probationary.

If the individual will not be renewed the faculty member should be so informed, subject to the relevant standards of notice set forth in Faculty Rule 3335-6-08.

**Non-probationary** research faculty must be informed as to whether the new appointment will be extended by the end of the penultimate year of the contract. The normal annual performance and merit review will serve as the basis for evaluation. An initial decision from the TIU head to reappoint is final. A copy of the annual

review, a draft renewal letter, the Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form with no attachments, and a recommendation letter from the TIU head will be sent to the college for review. An initial decision not to reappoint requires a vote of a TIU standing committee and requires the concurrence of the dean. All reappointment decisions are at the discretion of the dean. There is no presumption of contract renewal.

### F Associated Faculty

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The TIU head, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. There is no presumption of reappointment at the end of a contract period. If the position will not continue, the TIU head should inform the faculty member that there will be a non-renewal of employment.

If the position will continue, a formal performance review for reappointment is necessary to determine whether the faculty member will be offered a new contract. Documentation required in the annual review of an associated faculty member will be determined by the TIU. The TIU head, or designee, prepares a written evaluation and meets with the faculty member to discuss their performance, future plans, and goals. The TIU may require a vote of the eligible faculty. The TIU head recommendation on renewal of the appointment is final. If the recommendation is to renew, the TIU head may extend a multiple year appointment subject to the limitations discussed in Section IV.C.5.

Compensated associated faculty members on a multiple year appointment (or hired annually for multiple years) are reviewed annually by the TIU head or designee. The TIU head, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the TIU head will decide whether or not to reappoint. The TIU head's recommendation on reappointment is final.

### G Regional Campus Faculty

Regional campus probationary tenure-track and tenured faculty and professional practice faculty are directly supervised by the dean/director and associate dean(s) of the campus. The work of such faculty may involve some degree of collaboration with their unit on the Columbus campus. For establishing a pathway towards promotion that the Columbus campus TIU oversees, the TIU will provide feedback annually to the regional campus as part of the annual evaluation.

1. During the annual evaluation preparation in spring, communication should be established between regional campus administrators and the TIU chair or designee regarding a list of regional campus faculty in the TIU and the schedule for input to their evaluation.
2. A timeline of no less than 2 weeks for input should be provided.
3. Questions about performance or balance of activities should be addressed to mutual satisfaction.
4. When complete, a copy of the full evaluation letter/report should be provided to the TIU.

The annual performance and merit review of regional campus research faculty is conducted by the TIU and proceeds as described above for Columbus campus research faculty. The TIU head will provide the regional campus dean/director a copy of the faculty member's annual performance and merit review letter.

The annual performance and merit review of regional campus associated faculty is conducted entirely on the regional campus.

### H Salary Recommendations

TIU heads make annual salary recommendations to the dean, who may modify them. The recommendations are based on the current annual performance and merit review as well as on the performance and merit reviews of the preceding 24 months.

Each TIU document must describe the criteria, procedures, and documentation required for merit salary reviews and other rewards. It is the expectation of the college that merit salary increases and other rewards made by a TIU will be made consistent with that TIU's APT document, and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

Faculty who fail to submit the required documentation (see Section V-A above) for an annual performance and merit 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.

## VI Promotion and Tenure and Promotion Reviews

Faculty Rule 3335-6-02(D) provides the following context for promotion and tenure and promotion reviews:

> *In evaluating the candidate's qualifications in teaching, scholarship, and 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.*

In accordance with Faculty Rule 3335-6-02(E), each TIU must have an APT document that describes (1) the unit's criteria for the award of tenure and promotion to the rank of associate professor, and (2) the unit's criteria for promotion to the rank of professor. These documents must also include guidance on evaluation of jointly appointed faculty relative to these criteria. Each TIU desiring professional practice faculty must, in addition, have in its APT document the unit's criteria for promotion to the rank of professional practice associate professor and the unit's criteria for promotion to the rank of professional practice professor. Each TIU desiring research faculty must, in addition, have in its APT document the unit's criteria for promotion to the rank of research associate professor and the unit's criteria for promotion to the rank of research professor. Each TIU desiring regional campus tenure-track faculty must, in addition, have in its APT document the unit's criteria and procedures associated with promotion and tenure of such faculty. TIU APT documents also must include the evidence to be provided in support of each of the foregoing actions that are relevant to that unit.

The purposes of the college-level promotion and tenure and promotion reviews are: (1) to determine whether the TIU has conducted its review and reached a recommendation consistent with university, college, and unit standards, criteria, policies, and rules; and (2) to determine where the weight of the evidence lies in cases in which there is not a clear or consistent recommendation from the TIU. If the conclusion of the college-level review is that the recommendation of the unit is not consistent with university, college, and TIU standards, criteria, policies, and rules, the dean may make a recommendation that is contrary to the recommendation of the TIU.

## A Criteria

For each category of faculty appropriate to the TIUs of this college and in a manner consistent with this document, a TIU's APT document must describe: (1) the elaboration of each set of criteria for promotion and tenure, as appropriate to the specific discipline and TIU, (2) the evidence expected to be involved in the documentation that demonstrate impact and assessment of each of the criteria, (3) the levels of achievement necessary to demonstrate that the criteria are met. The criteria should be met within the context of the TIU's mission, the standards of Chapters 6 and 7 of the Faculty Rules, and the standards and mission of the college, and the mission of the university, and (4) criteria for evaluation of jointly appointed candidates.

The standards of quality and effectiveness required must be representative of high performance. The college expects that when a TIU forwards the dossier of a candidate for review and has recommended that promotion and tenure or promotion be granted, that the TIU has ensured that the evidence of the qualifications and performance of the candidate meet or exceed the TIU and college criteria applicable to the nomination.

The College of Engineering comprises a wide array of professional disciplines and faculty engage in a wide variety of interdisciplinary and transdisciplinary activities. Care must be taken to apply criteria with enough flexibility. In all instances, superior intellectual attainment and impact, in accordance with the criteria set forth, is an essential qualification for promotion to tenured faculty positions. Insistence upon this standard for continuing members of the faculty is necessary for the maintenance and enhancement of the University as an institution dedicated to the discovery and transmission of knowledge (Faculty Rule 3335-6-02-(D)).

The college has 3 sets of criteria for promotion and tenure, and for promotion: teaching, scholarship, and service. Evidence of effective contributions in each of these areas must be demonstrated through the documentation of activities over a period. Because of the diversity of professional disciplines within the college, the college enumerates a non-exhaustive list of activities and effectiveness for teaching, scholarship, and service to guide units in assessing candidates. Tenure-track, professional practice, and research faculty vary in their engagement in each of these three areas, depending on the role their appointment type plays in carrying out the mission of the college and university. For some faculty, these three areas may be integrated and overlapping, creating a synthesis. The candidate should explain such a dynamic in the narrative portion of their promotion dossier.

**Teaching** is broadly defined to include the imparting of knowledge to and the education of people.

Teaching activities include:

- undergraduate, graduate, and professional courses taught in curricular and co-curricular settings;
- involvement graduate exams, theses, and dissertations;
- promoting, coaching and mentoring undergraduate researchers;
- involvement in extension and continuing education;
- curriculum development;
- faculty and instructor professional development;
- evaluation and direction of student scholarship;
- academic advising;
- writing textbooks, monographs and other compilations of essential education resources, including online teaching resources;
- advising of student groups and organizations;
- participation in student affairs programs and student services;
- engaging in the Scholarship of Teaching (SoTL).

Novel teaching methods including development of electronic and other forms of educational interactions with students inside and outside the traditional classroom environment are encouraged as are those that support many different kinds of learners.

Evidence of effective teaching can include:

- student, peer, supervisor and external evaluations of teaching in the classroom;
- awards and formal recognition for teaching;
- evaluation of performance as an advisor and mentor;
- number, level, complexity and size of courses taught;
- development of novel interdisciplinary courses;
- exit interviews with graduating seniors;
- alumni surveys;
- quality of textbooks, monographs, electronic resources and other publications on education in the candidate's field;
- number of completed Master's theses or Ph.D. dissertations;
- number and quality of undergraduate researchers advised;
- number and quality of jointly authored publications with graduate or undergraduate students;
- impact of course and/or curriculum development; and/or
- effective teaching innovations.

The evaluation of a candidate's teaching should be accomplished within a systematic and comparative evaluation process that includes all faculty within the TIUs in which the candidate has taught.

Faculty are expected to have:

- Provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge.
- Demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm.
- Demonstrated appropriate use of various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment.
- Engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process.
- Provided appropriate and timely feedback to students throughout the instructional process.
- Treated students with respect and courtesy.
- Improved curriculum through revision or new development of courses and/or academic programs.
- Developed interdisciplinary courses across multiple departments, schools, units, and colleges in the case of jointly appointed faculty.
- Served as mentor to an appropriate number of graduate or undergraduate students given the TIU's graduate student/faculty ratio and the faculty member's area(s) of expertise.
- Assisted graduate students in the production of high-quality published work.
- Engaged in documentable efforts to improve teaching.

**Scholarship** is broadly defined to include discovery, scholarly and creative work, applied research, the scholarship of pedagogy, and engaged scholarship. More specifically, scholarship may be defined to include the possession, application, and advancement of a body of knowledge gained through research, study, and learning.

Scholarly activities will be specific to the TIU or units to which a candidate has been appointed and their field of endeavor, and may include, for example:

- publishing scholarly works such as books and monographs, chapters in edited books, bulletins and technical reports, peer reviewed journal articles, editor reviewed journal articles, reviews and abstracts, papers in proceedings;
- presenting lectures at universities, symposia, and conferences;
- submitting proposals;
- conducting and directing original research or other creative activities;
- editing books, and collections of research works;
- developing software;
- producing peer reviewed creative works in exhibits, symposia, publication, and juried competitions;
- designing and/or supervising the construction of creative products (e.g., new building, alloy, machine, device, or software);
- developing and securing intellectual property such as patents, patent disclosures and licensing of university-developed intellectual property;
- commercializing intellectual property through innovation and entrepreneurial activities such as entity creation;
- leadership and contribution to systems related best practices in industry and government;
- engaging in reciprocal partnership with the community, involving mutually beneficial exchanges of knowledge and the creation, delivery and assessment of timely, unbiased, educational materials and programs that address relevant, critical and emerging issues. Engaged scholarship should empower people in ways that result in desired outcomes, informed decisions and/ or improved quality of life.

Evidence of scholarship will be specific to the TIU or units to which a candidate has been appointed, and may include the quantity, quality, and impact of the aforementioned activities, for example:

- numbers of publications and citation analysis thereto in the context of the publishing landscape of the TIU discipline, numbers of presentations and invited lectures;
- amount of research funding in the context of the funding landscape of each TIU discipline;
- placing in juried competitions; number of patents, licenses and licensing revenue, awards, prizes, and other forms of professional recognition;
- a record of engaged-scholarship-related publications and evidence of national/international visibility, demonstrating innovation and creativity when developing and delivering programs, products and services that promote informed decisions and/or improve quality of life;
- letters of evaluation by peers at the national and international level.

In the case of jointly appointed faculty, care must be taken to consider impacts across multiple fields. This is particularly important in cases where the research focus may deviate from what would be considered conventional work for the primary appointment TIU and may require evaluations from referees outside of the primary appointment discipline.

Candidates are expected to have produced coherent body of scholarship that has made a distinct contribution to the discipline, is gaining national or international recognition, and promises continued growth. Scholarship must always find a public venue, although the character and status of these venues will vary according to TIU. Collaborative work and research funding are also encouraged. Here, too, specific requirements will vary according to TIU's, and appropriate flexibility must be exercised in the case of jointly appointed faculty. The following attributes of the body of work are considered:

- Quality, impact, quantity
- Unique contribution to a line of inquiry
- Rigor of the peer-review process and degree of dissemination

- Collaborative work is strongly encouraged, and indeed is essential to most types of inquiry. In this case, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment. In the assessment of collaborative work that has led to research productivity, there shall be no evaluative bias against the number of collaborators or co-authors of publications, proposals, projects or other tangible products of the work. Because of the synergism that often results from collaborative work and because of the unique capabilities that individual contributors bring to a team, an assessment of contribution based solely on a linear fractionation of contribution among collaborators can be misleading and inappropriate, and a more holistic assessment of the candidate's contribution must be made.
- A demonstrated ability to obtain and potential to sustain research program funding, in disciplines where it is appropriate. Research funding is a means to an end; funding that has not led to research productivity is a negative indicator. There shall be no evaluative bias against any source of research funding if it has led to research productivity. A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.
- Demonstrated a vision for how their individual area of scholarly excellence contributes to advancing the research strategy of the TIU, the college and the university. In the case of jointly appointed faculty, this vision should include considerations of the research strategies of the TIUs to which the candidate has been appointed.
- Additional criteria can be important in documenting the Scholarship of Engagement. For example, the quantity, strength and impact on stakeholders can take a variety of forms such as the enactment of related legislation, adoption of innovations and/or widespread changes in professional practice. Publications that translate research for practitioners, entrepreneurs, business/industry leaders and/or policy makers are valued in the Scholarship of Engagement.
- Demonstrated a high degree of ethics in scholarship including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators and in the dissemination of scholarship.

**Service**, or public service as stated in the mission of the University, is broadly defined to include administrative service to the University, professional service to the faculty member's discipline, and the provision of disciplinary expertise to public or private entities beyond the university (Faculty Rule 3335-6-02(A)).

Evidence of administrative service to the University can include:

- appointment or election to TIU, College, and/or University committees;
- administrative positions held and superior organizational leadership;
- mentoring activities.

Evidence of professional service to the faculty member's discipline can include:

- editorships of or service as a reviewer for journals or other learned publications;
- offices held and other service to professional societies;
- development of mechanisms to help bring people into the profession; and,
- organization of and service to conferences, workshops and symposia.

Evidence of the provision of expertise to public and private entities beyond the University includes:

- reviewer of proposals;
- external examiner;
- service on panels and commissions;

- professional consultation, engagement, or outreach to industry, government, education, and communities.

Professional expertise provided as a compensated outside professional service alone is insufficient to satisfy the service criterion.

Faculty are expected to have:

- Made contributions to the governance and advancement of the department/school in a collegial manner that facilitates positive contributions by others and upholds the Shared Values of the university;
- Made useful contributions to the College, the University, industry, and/or civic community; and
- Made useful contributions to the profession.

The quality and quantity of service and its importance relative to teaching and scholarship is evaluated in the context of the individual faculty member's distribution of effort. For candidates who duties are mainly administrative in nature, superior administrative service that clearly enhances the effectiveness of the institution may be a primary and leading professional contribution that should be highly valued.

### 1. Promotion to Associate Professor with Tenure

Promotion to associate professor with tenure in the College of Engineering requires excellence in both scholarship, where scholarship is defined as research, scholarly, and/or creative work. The promise of excellence in service is desirable.

Excellence in scholarship means attainment of measurable national or international recognition based on an appropriate amount and rate of high-quality published research and/or other relevant creative endeavors. A successful candidate will have an emerging national reputation. When assessing a candidate's national and international reputation in the field, activities in outreach and engagement should be valued in addition to more traditional scholarly and teaching activities. Excellence in teaching entails providing the opportunity for all students to realize their full capabilities for learning, as well as providing enhanced learning experiences for the most capable and motivated students. Excellence in service means the provision of a high level of professional expertise and experience to the University, the community, the state and nation, and professional organizations. The service contribution during the probationary period of assistant professors is limited by design. The most important judgment is that the candidate will achieve excellence in service in the future.

The substantial probability that a high rate of quality scholarship and/or creative activity and excellence in teaching and service will continue needs to be established. The claim that retention of the candidate will improve the overall quality and standing of the unit needs to be supported.

Excellence in teaching, research and/or creative activity, and service is moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics.

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

## 2 Promotion to Professor

All tenure track faculty must be engaged in teaching, developing academic programs in the TIU and College, mentoring students, developing of a record of scholarship, of research and creative inquiry, and serving both on campus and off, thereby demonstrating a commitment to citizenship and collegiality.

Faculty Rule 3335-6-02 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, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field, using evidence outlined in Section VIA1. When assessing a candidate's accomplishments, quality of contributions, and national and international reputation in the field, activities in outreach and engagement will be valued in addition to scholarly, teaching, and service activities.

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

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

## 3 Professional Practice Faculty

Professional practice faculty vary considerably in their roles in the college, entirely in keeping with enhancing the teaching mission of the University and the College of Engineering. University Faculty Rules (3335-7-01) specify that:

> *These faculty are teacher/practitioners and shall be engaged primarily in teaching activities related to: a) courses or instructional situations involving live patients or live clients, b) courses or instructional situations involving the simulation of live patients or live clients, c) courses or instructional situations involving professional skills, or d) teaching.*

Teaching, as defined in the University Faculty Rules (3335-6-02(A)(2)), includes, "didactic classroom, non-classroom and distance instruction, extension and continuing education, advising, and supervising or mentoring students or postdoctoral scholars." Within these parameters, professional practice faculty develop a path to promotion in keeping with their unique skills and contributions to the mission of the college and University. Within the College of Engineering, professional practice faculty may take one of two paths

towards promotion: a practice path or a teaching path, as outlined in the Pattern of Administration, Charts 1-3. Both those on the practice path and teaching path may emphasize primary engagement in classroom teaching, in undergraduate research mentoring, relationships with industry to enhance problem-based and entrepreneurially minded learning, leadership in academic program development, engaged scholarship with external communities, and engagement with professional practice. Those on the practice path are expected to emphasize best practices for the translation of professional skills into the classroom while those on the teaching path are expected to emphasize the development and promulgation of teaching best practices and engage in the scholarship of teaching and learning.

Additionally, there is an expectation of excellence in service. For those on the practice path there is an expectation of engaging in professional consultation and outreach to industry, government, education, and communities. Some professional practice faculty also engage in scholarship; scholarship activities may be undertaken with explicit negotiations about the use of their time with their supervisors and are not required for promotion.

See the College of Engineering Pattern of Administration Section IX.A for charts depicting the teaching, scholarship, and service activities required of professional practice faculty. These are differentiated by practice path and teaching path.

**Promotion to Professional Practice Associate Professor** in the College of Engineering requires that a faculty member show convincing evidence of excellence as a teacher and a provider of effective service; have a documented high level of competence in professional practice; and display the potential for continuing a program of high-quality teaching and service relevant to the mission of the TIU. Excellence in teaching entails providing the opportunity for all students to realize their full capabilities for learning, as well as providing enhanced learning experiences for the most capable and motivated students. There is an expectation that professional practice faculty will contribute to curriculum development and undertake professional development for promotion. Additionally, an expectation for promotion for those on the Practice Path is the demonstration of effectively bridging a professional industry context and the classroom. For those on the Teaching Path, the expectation is to promulgate best practices in teaching while engaging in the scholarship of teaching and learning. Excellence in service means the provision of a high level of professional expertise and experience to the University, the community, the state and nation, and professional organizations, including a contribution to the outreach and engagement mission of the TIU, College, and University. For those on the Practice Path, the expectation is for professional consultation, engagement, or outreach to industry, government, education, and communities.

**Promotion to Professional Practice Professor** in the College of Engineering requires that a faculty member have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching (Teaching Path) or translating professional practice to the classroom (Practice Path); a sustained record of mentoring students, continued contribution to the outreach and engagement mission of the TIU, College, and University that is recognized at the national and/or international level, proven leadership in service, professional practice (Practice Path), and/or teaching (Teaching Path) at the national and/or international level and production and dissemination of scholarly materials pertinent to pedagogy (Teaching Path) and/or professional practice (Practice Path).

### 4 Research Faculty

**Promotion to Research Associate Professor** in the College of Engineering requires excellence in scholarship. There is an expectation of a record of significant external support for research and a substantial probability that external support for research will continue along with student research mentoring. The claim

that retention of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported.

**Promotion to Research Professor** in the College of Engineering requires excellence in scholarship. There is an established record of significant external support for research and a substantial probability that external support for research will continue. Faculty must have mentored graduate students to develop their research capabilities and demonstrated leadership in service relevant to the mission of the candidate's TIU. The claim that promotion of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported.

#### 5 Associated Faculty

**Promotion to Adjunct Associate Professor and Adjunct Professor.** The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track, professional practice, or research faculty above.

**Promotion to Associate Professor and Professor with FTE below 50%.** The relevant criteria for the promotion of associated faculty members with tenure-track titles are those for the promotion of tenure-track faculty above.

**Promotion to Senior Lecturer**. Lecturers may be promoted to senior lecturer if they meet the criteria for appointment at that rank as described in Section IV.A.5.

**Promotion of Visiting Faculty.** Visiting faculty members are not eligible for promotion.

#### 6 Regional Campus Faculty

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

In evaluating regional campus professional practice and associated faculty for promotion, TIUs will use the same criteria as described above for the promotion of faculty in each of these categories.

### B Procedures

The college's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the Policies and Procedures Handbook. The following sections, which state the responsibilities of each party to the review process, apply to all faculty members and all TIUs in the college.

#### 1 Tenure-Track, Professional Practice, and Research Faculty

##### a Candidate Responsibilities

Candidates for promotion and tenure or promotion within the College of Engineering are responsible for submitting a complete, accurate dossier and providing a copy of the APT under which they wish to be reviewed. If external evaluations are required, candidates are responsible for reviewing the list

of potential external evaluators compiled for their case according to their TIU's guidelines. Each of these elements is described in detail below.

- **Dossier**

Every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

While a TIU's Promotion and Tenure Committee (*or Eligible Faculty*) will make reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by him or her.

TIUs will require unit-appropriate documentation. It is the responsibility of the TIU to evaluate and verify this documentation.

The time period for **teaching** documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion or the last five years, whichever is less, to present. Examples of documentation include:

- cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class.
- a year-by-year summary of the eSEI reports (both quantitative and narrative components) prepared by a faculty member other than the candidate.
- peer evaluation of teaching reports as required by the TIU's peer evaluation of teaching program (details, including number, provided in Section IX below).
- Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- teaching activities as listed in the core dossier including:
    - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
    - mentoring postdoctoral scholars and researchers
    - extension and continuing education instruction
    - involvement in curriculum development
    - awards and formal recognition of teaching
    - presentations on pedagogy and teaching at national and international conferences
    - adoption of teaching materials at other colleges or universities.
- other relevant documentation of teaching as appropriate.

The time period for **scholarship** documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion to present. All scholarship outcomes will be reviewed for increasing independence over time. There should also be an increasing trajectory of significant scholarly outcomes over time. Examples of documentation include:

- Copies of all books, articles, and scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher

stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.

- documentation of grants and contracts received
- other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted)
- scholarship activities as listed in the core dossier including
    - documentation of creative works pertinent to the candidate's professional focus including artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites
    - documentation of inventions, patents, disclosures, options and commercial licenses
    - list of prizes and awards for research, scholarly, or creative work

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion to present. Examples of documentation include:

- service activities as listed in the core dossier including
    - involvement with professional journals and professional societies
    - consultation activity with industry, education, or government
    - clinical services
    - administrative service to TIU
    - administrative service to college
    - administrative service to university and Student Life
    - advising to student groups and organizations
    - informal student advising
    - awards and prizes for service to profession, university, or TIU.
- any available documentation (e.g. letters from committee Chairs) of the quality of service that enhances the list of service activities in the dossier.

The complete dossier is forwarded when the review moves beyond the TIU. The documentation of teaching is forwarded along with the dossier. The documentation of scholarship and service is for use during the TIU review only, unless reviewers at the college and university levels specifically request it.

- **Appointments, Promotion, and Tenure (APT)**

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

- **External Evaluations** (see also External evaluations below)

    - If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to their TIU's guidelines. 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, providing the reasons for the request. The TIU head decides whether removal is justified.

**b TIU Eligible Faculty Responsibilities**

For TIUs within the College of Engineering, the responsibilities of the members of the eligible faculty during promotion and tenure reviews are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.

- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

**c TIU Head Responsibilities**

The responsibilities of Department Chairs and School Director in the College of Engineering during promotion and tenure reviews are as follows:

- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. (A TIU must ensure that such questions are asked of all applicants in a non-discriminatory manner.) For tenure-track assistant professors, TIU heads are to confirm that candidates are eligible to work in the U.S. Candidates who are not U.S. citizens or nationals, permanent residents, asylees, or refugees will be required to sign an MOU at the time of promotion with tenure.

- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the Department Chair/School Director, and the candidate. (Also see External Evaluations below.)

- To solicit an evaluation from a TIU head of any TIU in which the candidate has a joint appointment. In the case of Discovery Theme Faculty the joint unit is the Discovery Theme Program that supported the hire of the candidate. This letter should be solicited prior to review of the dossier by the eligible faculty and assesses the performance of the faculty member with regard to the joint appointment.

- To make each candidate's dossier available in an accessible place 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 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 that are raised during the meeting. At the request of the eligible faculty, a TIU Head will leave the meeting to allow open discussion among the eligible faculty members.

- **Mid-Autumn Semester:** To provide for each candidate an independent written evaluation, an assessment of their strengths and weaknesses, and a recommendation, following receipt of the eligible faculty's completed evaluation and recommendation. For jointly appointed faculty, this should include a consideration of their joint appointment, including Discovery Theme appointments.

- 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 unit review process (1) of the recommendations by the eligible faculty and unit head; (2) of the availability for review of the written evaluations by the eligible faculty and unit head and (3) of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the unit head for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the unit head, indicating whether or not he or she expects to submit comments.

- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.

- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the TIU Head recommends against promotion. A negative recommendation by the unit head is final in such cases.

- When not the TIU for a joint appointment, to receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the unit head's independent written evaluation and recommendation, to the head of the other tenure initiating unit by the date requested.

### d TIU Promotion and Tenure Committee Responsibilities

The responsibilities of the TIU Promotion and Tenure Committee are as follows (when different than the committee of eligible faculty):

- Review its APT document annually and to recommend proposed revisions to the faculty.
- Provide objective assessment of candidates' progress based on information provided by all TIUs to which the candidate has been appointed, taking into consideration annual review letters involving a jointly hired candidate's expectations for performance, including Discovery Theme candidates.
- Ensure that the TIU P&T Committee (of the primary appointment TIU in the case of jointly appointed faculty) explains and addresses dissenting votes in their report on the candidate, as well as summarizing and addressing all TIU eligible faculty comments.
- Transmit the completed dossier to Engineering Administration.

### e College of Engineering Promotion and Tenure Committee Responsibilities

The College of Engineering Promotion and Tenure Committee is composed of at least twelve tenure track faculty at the rank of Professor appointed by the Dean, each serving a three-year term. Tenure track appointees must be members of the Graduate faculty and hold a 50% or more appointment in a TIU of the college. Up to an additional two non-probationary professional practice faculty members at the rank of associate professor or professor, as appropriate to the case, may be appointed by the Dean, each serving a three-year term, to assess professional practice faculty candidates only. Up to an additional two non-probationary research faculty members at the rank of associate professor or professor, as appropriate to the case, may be appointed by the Dean, each serving a three-year term, to assess research faculty candidates only. The Knowlton School may nominate a member each year and an alternate to facilitate equitable assessment of the School's unique disciplines. Each year, two-thirds (8) tenure track faculty members will remain on the P&T Committee for the following year. One (or more) of these shall be appointed by the Dean in spring to serve as P&T Committee Chair (or co-Chair) the following year. With the exception of the Associate Dean for Faculty Affairs who will

facilitate the committee's tasks and serve as an ex-officio member of the committee, no administrative appointees are eligible to serve as committee members.

The committee has the following responsibilities:

1. Assess the process used to evaluate candidates based upon the College APT document and the primary appointment TIU APT document, which must have been approved previously by the College and OAA;
2. Review and evaluate the dossier, consistent with the committee purpose described in the College's Pattern of Administration;
3. Determine where the weight of the evidence lies in cases in which there is not a clear or consistent recommendation from lower levels of review.
4. Recommend to the Dean a promotion and/or tenure action based upon evaluation of qualifications, performance and accomplishment of the candidate and considering comparable achievements in the candidate's discipline.

The college's promotion and tenure committee uses a two-stage process to evaluate candidate dossiers that involves a subcommittee vote and discussion and the full committee's vote and discussion:

**Subcommittee process and procedures:** After the committee is constituted, the cases will be assigned to subcommittees for initial review, with a minimum of 4 members each, and the committee chair (or co-chair) will appoint a Procedures Oversight Designee (POD) or PODs for each case and at least one primary, "lead", reader for each case. It is expected that all subcommittee members have examined all dossiers being discussed. A draft of the report outlining the case may be prepared by the primary, "lead", reader in advance and serve as the basis for the discussion of each case.

Each subcommittee will (1) review the materials provided by the TIU for promotion and tenure consideration to ensure the TIU followed correct procedures and applied appropriate standards. These materials will be prepared in a manner spelled out by the TIU's Appointments, Promotion, and Tenure: Criteria and Procedures document. (2) Assess the process used to evaluate candidates based upon the College APT document and the primary appointment TIU APT document, which must have been approved previously by the College and OAA; (3) Review and evaluate the dossier, consistent with the subcommittee purpose described in this paragraph; (4) Determine where the weight of the evidence lies in cases in which there is not a clear or consistent recommendation from lower levels of review. (5) Recommend to the full committee a promotion and/or tenure action based upon evaluation of qualifications, performance and accomplishment of the candidate and considering comparable achievements in the candidate's discipline.

It is expected that all subcommittee members examine all dossiers being discussed. If the subcommittee unanimously agrees with the TIUs vote (TIU head and TIU eligible faculty), the recommendation for dossier is assigned to a consent agenda for approval by the entire committee. Referral to full committee review occurs upon request by one or more subcommittee members. Additionally, if clarification is required or there is a disagreement, the dossier is assigned to review and discussion of the full committee, with emphasis placed on the necessary points of clarification. If the determination is negative at all levels, the case will be referred to the full committee for discussion.

When the subcommittee meets, the lead for each subcommittee will preside over the relevant subcommittee's discussion of their assigned case. The criteria to be applied are outlined above and require excellence in scholarship, teaching, and/or service, as applicable. The subcommittee should determine the voting procedure that is to be applied consistently to the case that is considered by that subcommittee during a single academic year. If it is believed to be useful, an anonymous straw poll

may be taken before the final vote on a particular case. New discussion should ensue if the results of such a straw poll do not reflect the sense of the previous discussion and the written report of the subcommittee's assessment. Only "yes" and "no" votes on the recommendation to tenure and/or promote candidates are allowable in the final vote; abstentions are not allowed among subcommittee members. The final vote will be communicated to the subcommittee members and efforts will be made by the subcommittee lead to ensure that the committee report is consistent with the final vote that is to be submitted. Subcommittee recommendations shall be in writing to the Dean and report the vote of the subcommittee on the matter deliberated by the subcommittee. The lead will be responsible for completing the written report of the subcommittee's assessment and vote. The POD will be responsible for recording the vote and entering that information into Interfolio.

**Full committee process and procedures:** For dossiers referred to the full committee, at least one primary, "lead", reader is assigned for each case. It is expected that all committee members have examined all dossiers being discussed. The draft of the subcommittee report outlining the case should be shared with the committee and serves as the basis for the discussion of each case.

In a meeting of the entire college committee, along with the Associate Dean of Faculty Affairs as an ex-officio member, the committee will discuss the dossiers needing clarification and vote on these cases as well as the those on the consent agenda.

When the full committee meets, the committee chair (or co-chair) will preside over the committee's discussion of each case. The criteria to be applied are outlined above and require excellence in scholarship, teaching, and/or service, as applicable. The chair (or co-chair) will be responsible for completing the written report of the committee's assessment and vote. The committee should determine the voting procedure that is to be applied consistently to all cases that are considered by the committee during a single academic year. If it is believed to be useful, an anonymous straw poll may be taken before the final vote on a particular case. New discussion should ensue if the results of such a straw poll do not reflect the sense of the previous discussion and the written report of the committee's assessment. Only "yes" and "no" votes on the recommendation to tenure and/or promote candidates are allowable in the final vote; abstentions are not allowed among committee members. The final vote will be communicated to the committee members and efforts will be made by the committee chair (or co-chair) to ensure that the committee report is consistent with the final vote that is to be reported. Committee recommendations shall be in writing to the Dean and report the vote of the Committee on the matter deliberated by the Committee. The chair (or co-chair) will be responsible for recording the committee's vote for each case in Interfolio.

- Once materials are submitted to the college for review, with the exception of procedural errors of the availability of significant new information, no further consultation with TIU heads or committees on substantive matters should take place. This assures that the levels of review are independent.

- Committee members from a candidate's TIU will be ineligible to participate in any discussion of the case, including procedures, policies, or culture of the TIU. The only exception is in the case of the Knowlton School, where a committee member from a different section than the candidate may participate in the discussion but not vote. Only the dossier material should be discussed and evaluated.

- Should questions arise with respect to procedural errors (those that reasonably could have affected the outcome), they should be addressed before the review continues. The error should be corrected at the level of the review at which it occurred. The case should be fully reconsidered from that point on. If internal letters have been generated at that level of review and beyond, they should be saved, but not included in the dossier. The new written evaluations should note that reconsideration took place

because of a procedural error and state the nature of that error. The comments process must be repeated for the new internal letters.

- Should there be significant new information, the record may be amended; however, all parties to the review process must review an amended record. If the information becomes available after a case has left the TIU, the college committee may return the case to the TIU.

- After the college committee completes its work, the chair (or co-chair) shall advise the Dean on tenure and promotion for each candidate. Following that consultation, the Dean shall make a final recommendation in writing to the Executive Vice President and Provost.

Fourth-year reviews will follow the above procedures with one exception. The final decision with respect to reappointment will rest with the dean. There is no comments process following the final decision.

**f College Dean Responsibilities**

- Upon the receipt of a dossier from a TIU on a candidate for promotion and/or tenure, the Dean will submit the dossier to the College Promotion and Tenure Committee for review.

- The Dean will consider the recommendations of the Committee. The college dean's decision shall be final with respect to reappointment and non-reappointment. Decisions with respect to promotion for tenure-track, professional practice, and research faculty shall be forwarded to the executive vice president and provost, who shall review the decision consistent with review procedures set forth in Faculty Rules 3335-6-03 and 3335-6-04. Any decision of the executive vice president and provost shall be final.

- Once the Dean completes their letter to the Executive Vice President and Provost, the Dean will inform the candidate and the TIU head of the completion of the college-level review and of the availability of the reports. The candidate and TIU head will be provided with copies of those reports. University rules and OAA guidelines regarding the comments process will then be followed.

- When a promotion and tenure decision is negative, the Dean must advise the candidate of his or her right to appeal and also of his or her final date of employment under the seven-year rule (if applicable).

### 2 Procedures for Associated Faculty

Adjunct faculty and associated faculty with tenure-track titles for whom promotion is a possibility follow the promotion guidelines and procedures detailed in Section VI.B above, with the exception that the review does not proceed to the college level if the TIU head's recommendation is negative and does not proceed to the executive vice president and provost if the dean's recommendation is negative. Positive recommendations from deans in colleges with TIUs likewise do not proceed to the executive vice president and provost.

### 3 Procedures for Regional Campus Faculty

Regional campus tenure-track and professional practice faculty are appointed by the regional campus dean/director but promoted by the TIU on the Columbus campus. Although both the TIU and the regional campuses have APT documents, the TIU takes the lead on process.

1. For mandatory promotion review, the college will remind the TIU that mandatory review will need to occur in the subsequent fall and inform the regional campus of due dates for completed materials and regional campus assessment.
2. For 4th year review (tenure track faculty) or reappointment (professional practice faculty), the college will remind the TIU that mandatory review will need to occur in the subsequent spring and inform the regional campus of due dates for completed materials and regional campus assessment.
3. For non-mandatory promotions, the candidate informs the regional campus dean/director and the TIU head that they wish to be considered for promotion within the TIU's window for non-mandatory review. Requests for nonmandatory review must come to the TIU before April 1 preceding the fall review.
    a. The candidate provides the regional campus dean and the TIU head materials for preliminary screening of their case.
    b. The regional campus dean/director and the TIU's eligible faculty or Promotion and Tenure Committee make a recommendation to the candidate whether to move forward with promotion.
    c. A negative recommendation by the regional campus dean/director or eligible faculty/TIU Promotion and Tenure Committee is final in the first year; in the second year after reconsideration, a negative recommendation is advisory to the candidate, and they may choose to move forward.
    d. In all promotion cases moving forward, the TIU Promotion and Tenure committee solicits peer evaluations per their APT. Such letters should be provided to the regional campus for consideration as part of the dossier. In the College of Engineering, it is required to obtain letters reviewing the teaching/service portfolios of professional practice faculty.
    e. The candidate submits a dossier to the regional campus dean/director.
    f. The regional campus dean/director aligns the regional campus review with the timing of the TIU review to ensure that evaluations meet COE and OAA deadlines.
    g. The regional campus eligible faculty and dean/director's recommendations are forwarded to the TIU P&T committee.
    h. The TIU head informs the regional campus dean/director of the department decisions at the same time that the case is advanced to the college.

Associated faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The decision of the regional campus dean/director is final.

## 4 External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship of tenure track and research faculty must be assessed. These include all tenure track promotion and tenure or promotion reviews, and all research appointment contract renewals and promotion reviews. External evaluations of scholarly activity and research are not obtained for professional practice faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations of the scholarship of a professional practice faculty member will be made by the TIU head after consulting with the candidate and the chair of the Promotion and Tenure (*or Eligible Faculty*) Committee.

Evaluations that assess the quality and impact of the teaching and service of professional practice faculty candidates under consideration for promotion are to be obtained. The source and content of evaluations for professional practice faculty promotion candidates should reflect the contributions expected of professional practice faculty members. Evaluations should address the extent and quality of teaching as characterized by internal and external evaluations of instruction and the quality of

contributions through outreach and engagement with industry, the educational community, and the broad community of practitioners as appropriate for the individual under review. Evaluations should also address the extent and quality of professional service to the TIU, College, and University. Evaluations of professional practice faculty should derive from external authoritative and reputable sources qualified to comment substantively on the contributions and accomplishments of the faculty member. Examples of evidence for and balance among the areas of contribution are to be determined by each TIU approved for professional practice faculty and described in the unit APT document.

A minimum of five credible and useful external evaluations must be obtained. A credible and useful evaluation has the following two characteristics:

- Is written by a person who is a non-Ohio-State employee and who is highly qualified to judge the candidate's scholarship (or other performance, if relevant), who is not a close personal friend, research collaborator, former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. TIUs will solicit evaluations only from distinguished evaluators--professors at full rank at institutions comparable to Ohio State or non-academics who have similar credentials and experience. For example, an evaluator could be a top person from industry or another type of institution, so long as the "distinguished" criterion is met. The biographical information that TIUs provide on the cover sheet for external evaluations should provide a compelling and explicit justification of the appropriateness of each evaluator. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from distinguished associate professors. For consideration of an associate professor seeking promotion to the rank of professor, all of the evaluations must be from a professor or equivalent (in the case of an evaluator from another type of institution or industry).

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

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee (*or Eligible Faculty*), the TIU head, and the candidate. In cases of jointly appointed faculty, additional evaluators may be suggested by the Department Chair of the secondary appointment TIU as appropriate. 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 3335-6-04 requires that no more than half the external evaluation letters in the 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 nor TIUs in this college require that the dossier contain letters from evaluators suggested by the candidate.

TIUs will follow the Office of Academic Affairs suggested format for letters requesting external evaluations. A sample letter for tenure-track and research faculty can be found here. A sample letter for professional practice faculty can be found here.

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

Under no circumstances may a candidate solicit evaluations or initiate contact in any way with evaluators for any purpose related to the promotion review. If an 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 TIU head, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

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

## VII Appeals

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

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

## VIII Seventh-Year Reviews

Faculty Rule 3335-6-05 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.

## IX Procedures for Student and Peer Evaluation of Teaching

### A Student Evaluation of Teaching

Use of the electronic Student Evaluation of Instruction (eSEI) including collection of open-ended narrative comments is required in every course offered in this college. Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be considered in future teaching.

### B Peer Evaluation of Teaching

The TIU Head of the TIU in which a particular course is taught oversees that TIU's peer evaluation of teaching process.

Annually the TIU Head appoints a Peer Review of Teaching Committee of a size judged to meet the volume of peer-review expected that year, without overburdening any of the members. The term of service is one year, with reappointment possible. Reasonable efforts are made to distribute service among the tenured and non-probationary advanced rank professional practice faculty from year to year in order to support and encourage attention to the quality of teaching in the unit. Although there is no presumption that a peer reviewer must be

of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

The Responsibilities of the Peer Review of Teaching Committee are as follows:

- to review the teaching of probationary tenure track and professional practice faculty (regardless of rank) at least once per year during the first two years of service, and at least twice more before the commencement of the mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.
- to review the teaching of tenured associate professors and non-probationary professional practice assistant and associate professors at least once every other year, with the goal of having at least two peer reviews of teaching before the commencement of a promotion review
- to review the teaching of tenured professors and non-probationary professional practice professors at least once every four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review.
- to review, upon TIU Head request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The TIU Head is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the Drake Institute for Teaching and Learning.

Reviews conducted upon the request of the Department Chair/School Director or the faculty member focus on the specific aspects of instruction requested by the Chair/Director or faculty member and may or may not include class visitations.

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

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

## Appendix A: Faculty Compensation Philosophy

The Office of Academic Affairs policy on faculty compensation stresses that compensation decisions should support the recruitment, performance, and retention of high-quality faculty. Additionally, the college believes that competitive pay is key in recruiting, retaining, and rewarding the top talent that is critical to its ability to fulfill its mission. Our compensation program is intended to support a culture of high performance, reinforce performance and accountability, and be aligned with the core values of the university. Therefore, performance reviews are a critical component of professional development and thus are required for all employees.

### Overview

To attract and retain outstanding faculty and staff required to fulfill our mission, our compensation system and adjustments in the College of Engineering (CoE) are provided in accordance with the following objectives:

- recognize and reward superior performance and exceptional accomplishments;
- achieve internal equity and maintain competitiveness in the market;
- recruit and retain high-performing mission-critical faculty and staff;
- recognize and reward contributions to supporting a college culture that supports the values of the university.

Compensation adjustments are based on merit, which includes performance, market equity (internal and external) and compression considerations when possible. Documented performance in key areas of responsibility and the achievement of specific annual goals are the primary criteria for all compensation adjustment decisions. Therefore, performance reviews are a critical component of professional development and thus are required for all employees (compensation adjustments must be supported by the performance review). We want to use the opportunity to recognize our highest performers, therefore, a strategic distribution of raises should be provided and no across-the-board increases shall be given. Increases should recognize superior performance, include no “cost-of-living” component and be allocated in a manner that is substantially differential. The compensation process should be utilized to inspire achievement and to reinforce performance and accountability.

## Appendix B: Faculty Guidelines for Documenting University Shared Values in Faculty Annual Reviews

**Purpose:** The College of Engineering is strongly committed to promoting the University's Shared Values in all areas of scholarship, instruction, and outreach. Doing so enriches the engineering formal and informal curricula, fuels creativity, launches innovation, and helps develop the next generation of engineering leaders. In addition, the promotion of an environment that is inclusive and equitable for everyone will lead to excellence in our communities.

Annual reviews are a basic tool for foster activities that support the goals of the college and the unit.

Faculty annual reviews are an opportunity to communicate and make explicit the connections between faculty scholarship, teaching, service, and the University Values, such as benefits to your department, college, students or the community. The following are guidelines about what faculty might include in their annual report/dossier to capture their engagement in the University's Shared Values.

> **Statement of Values** as they relate to your understanding and commitment to university values in higher education and the general community (*in biographical narrative*).
>
> **Activities** that demonstrate your commitment to fostering university values. These can be initiative and activities at any stage of development or simply your own professional development in this area. (*Make sure items are included in the appropriate place in your dossier.)*
>
> **Future Plans** for continuing to advance university values in your research program, teaching, and service. *(In biographical narrative or appropriate dossier narrative*)

### Things to Consider Including in Annual Reviews

**Research and Scholarship**

- Explain how your research/scholarship been shared with the community or public in a way that promotes access to scholarship or engaged scholarship.
-

**Mentorship and Advising**

- Articulate a mentoring philosophy

**Teaching**

- What do you do as a teacher that creates a welcoming atmosphere? How do you ensure that students in your class feel a sense of belonging?
- How does your approach to facilitating discussion (and/or structuring active learning activities) take into account considerations of positionality and/or power? You may wish to reflect on using semi-structured discussion techniques, online access points for student participation, classroom seating arrangements, or other ways in which you create opportunities for student engagement. Try to generate at least one specific example of how your pedagogical choice facilitates student engagement in a particular course.
- How do you ensure that your course readings and sources reflect a broad spectrum of perspectives?
- Include any training in universal design.

**Service**

- Have you participated in any service activities (e.g. university committees, symposiums, workshops, volunteer work in the community) whose goals aim to make engineering, architecture, or planning

fields that can appeal to anyone? If so, describe your experience. What did you accomplish? What did you learn? What skills did you build in the process?

## Appendix C : Faculty Hiring at Regional Campuses

Engineering faculty are hired at regional campuses in three basic categories:

- Department of Engineering Education (EED) faculty teaching First-year Engineering
- Bachelor of Science in Engineering Technology (BSET) faculty
- Departmental faculty delivering service and/or major courses

The required process for hiring regional campus faculty is described in section I G of the Faculty Recruitment and Selection University Policy.

Below is a modification of the process approved by OAA for faculty with TIUs in the College of Engineering.

1. Regional campuses will share a draft position description with COE (Faculty Affairs and Associate Dean for Academic Programs & Student Services) as they place their request for the position with OAA.
2. COE will share that PD with all potential TIUs for awareness and discussion about potential fit and interest. TIUs are encouraged to have direct conversations with the regional campus regarding the position.
3. Links to the APT documents for interested TIUs and any feedback on the PD will be sent back to the regional campus as resources to finalize the PD and eventually share with the candidates.
4. One Columbus faculty member will be appointed to the search committee. That faculty member may or may not come from the potential TIUs. When hiring for the BSET program it would ideally be someone familiar with that program. *This is an OAA-approved deviation from the SHIFT framework.*
5. The search will proceed on the regional campus following the SHIFT protocol, except for the composition of the search committee in item 4.
6. Once finalists are identified, if not already selected, a potential TIU for each will be identified and the APT documents of the appropriate regional campus and Columbus campus TIU will be shared with the candidate. Since these candidates may have non-traditional backgrounds, situations may arise where multiple TIUs might be involved for a single candidate. Detailed discussions of prioritizing TIUs or sharing the appointment should involve the regional campus Dean and TIU Chairs.
7. TIUs will be contacted to participate in an evaluation of the finalist for their TIU to assess the alignment with their unit. TIUs may define a process by which this evaluation would occur, but a vote of the faculty or search committee should be taken and reported back to the Dean of the regional campus. If the rank at which the candidate will be hired is Associate or above, the P & T committee at the TIU must also review and vote according to the unit's APT, before reporting back to the Dean of the regional campus. University procedures are followed from there.
8. Once a choice of candidate is made, the Dean and Associate Dean of the regional campus will work with the TIU chair to create an offer letter.
9. Conversions of lecturers or senior lecturers to Clinical/Teaching/Practice (CTP) faculty positions are exempt from the SHIFT process and do not require a search waiver. While regional campuses are not obligated to follow the SHIFT protocol in these cases, coordination with the Columbus-campus TIU is still necessary. Specifically, steps 1–3 and 6–8 of the outlined process must be completed.