

Appointments, Promotion, and Tenure Criteria and Procedures
Department of Electrical and Computer Engineering
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I Preamble

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (<http://trustees.osu.edu>); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook (<http://oaa.osu.edu/handbook.html>); and other policies and procedures of the college and university to which the department and its faculty are subject.

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

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

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

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

II Department Mission

To serve society through electrical and computer engineering by:

- Educating and inspiring forward looking professionals;
- Creating, applying, and disseminating vital knowledge and technology; and
- Leading the professional activities of academia, industry, and government.

III Definitions

A. Committee of the Eligible Faculty

1. Tenure-track Faculty

All tenure-track faculty are given the opportunity to participate in initial appointment recommendations for tenure-track appointments through a polling process (see Section VI). Such information is advisory to the Department Chair and Personnel Committee.

In cases involving appointments at senior rank, a second eligible faculty is defined for determining the appropriateness of the proposed rank: this second eligible faculty consists of all tenure-track faculty whose tenure resides in the department and who are of rank equal to or higher than the proposed rank excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

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

For tenure reviews of probationary professors, eligible faculty are tenured professors of rank equal to or higher than the candidate's rank whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

2. Clinical Faculty

All tenure-track faculty and clinical faculty whose primary appointment is in the department are given the opportunity to participate in initial appointment recommendations for clinical faculty through a polling process (see Section VI). Such information is advisory to the Department Chair and Personnel Committee.

In cases involving appointments at senior rank, a second eligible faculty is defined for determining the appropriateness of the proposed rank. This second eligible faculty consists of all non-probationary clinical faculty whose primary appointment is in the department and who are of rank equal to or higher than the proposed rank, combined with all tenure-track faculty whose tenure resides in the department and who are of rank equal to or higher than the proposed rank, excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

The eligible faculty for promotion of clinical faculty consists of all tenured faculty (whose tenure resides in the department) of higher rank than the candidate and all non-probationary clinical faculty (whose primary appointment is in the department) of higher rank than the candidate excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

The eligible faculty for contract renewal reviews of probationary clinical faculty (conducted in the penultimate contract year) consists of all tenured faculty (whose tenure resides in the department) and all non-probationary clinical faculty (whose primary appointment is in the department), both of rank equal to or higher than the candidate excluding all Assistant Professors of Practice, the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

3. Research Faculty

All tenure-track faculty whose tenure resides in the department and research and clinical faculty whose primary appointment is in the department are given the opportunity to participate in initial appointment recommendations for research faculty through a polling process (see Section VI). Such information is advisory to the Department Chair and Personnel Committee.

In cases involving appointments at senior rank, a second eligible faculty is defined for determining the appropriateness of the proposed rank. This second eligible faculty consists of all non-probationary research and clinical faculty whose primary appointment is in the department and who are of rank equal to or higher than the proposed rank, combined with all tenure-track faculty whose tenure resides in the department and who are of rank equal to or higher than the proposed rank, excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president,

The eligible faculty for promotion reviews of research faculty consists of all tenured faculty (whose tenure resides in the department) of higher rank than the candidate and all non-probationary research and clinical faculty (whose primary appointment is in the department) of higher rank than the candidate excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

The eligible faculty for contract renewal reviews of probationary research faculty (conducted in the penultimate contract year) consists of all tenured faculty (whose tenure resides in the department) and all non-probationary research and clinical faculty (whose primary appointment is in the department), both of rank equal to or higher than the candidate excluding all Assistant Professors, the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

4. Conflict of Interest

A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services or vice versa, has a close professional relationship with the candidate (e.g. dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible.

5. Minimum Composition

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

B. Promotion and Tenure Committee

The department has a Promotion and Tenure Committee that assists the eligible faculty in managing personnel and promotion and tenure issues. The promotion and tenure committee is composed of 7 tenured faculty members who hold the rank of Professor (committee Chair, oversight designee, 2 members each on subcommittees associated with research and teaching, and a single member of a service subcommittee). The Department Chair appoints the members of the Promotion and Tenure Committee annually, and specifies the roles for each member when appointed. In addition, the committee chair may choose to add more committee members if necessary to provide sufficient representation of the department's technical areas. If possible, the committee will be augmented when considering clinical or research faculty promotions by adding a Full Professor of Practice or a Full Research Professor, respectively, to the committee. No full professor shall serve as the Chair of the Promotion and Tenure Committee for more than three consecutive years.

C. Quorum

A quorum of the eligible faculty is required for:

- promotion and tenure reviews of tenure-track faculty
- promotion reviews of tenure-track, clinical, or research faculty
- tenure reviews of probationary faculty of senior rank
- fourth year reappointment reviews of probationary tenure-track faculty
- contract renewal reviews in the penultimate contract year for probationary clinical or research faculty
- consideration of the appropriateness of appointments at senior rank for tenure-track, clinical, or research faculty

The minimum number of faculty required to achieve quorum is computed as 60% of the applicable eligible faculty after those on leave of absence, on faculty professional leave, on approved special assignment to an off-campus location, or having a conflict of interest are excluded.

A quorum is achieved at an eligible faculty meeting when the number of eligible faculty present or participating in the discussion by electronic means (including those who may be on leave of absence, on faculty professional leave, or on approved special assignment to an off-campus location) exceeds the minimum number described above.

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.

Absentee ballots and proxy votes are not permitted, but eligible faculty who participate in the eligible faculty meeting by telephone or other electronic means are allowed to vote.

1. Appointment

In cases involving appointments at senior rank, a positive recommendation from the “second” eligible faculty for assignment of a specified rank is secured when two-thirds of the votes cast are positive.

2. Reappointment

Eligible faculty votes for reappointment are conducted only for fourth year reviews of tenure-track faculty. A positive recommendation from the eligible faculty is secured when two-thirds of the votes cast are positive.

3. Promotion and Tenure

Promotion and tenure votes are conducted for the promotion of tenure-track Assistant Professor candidates to Associate Professor. A positive recommendation from the eligible faculty is secured when two-thirds of the votes cast are positive.

4. Promotion

Promotion votes can be conducted for promotion of tenure-track Associate Professor candidates to Full Professor, for the promotion of research or clinical faculty from Assistant to Associate Professor, or for the promotion of research or clinical faculty from Associate to Full Professor. In all cases, a positive recommendation from the eligible faculty is secured when two-thirds of the votes cast are positive.

5. Contract Renewal

Eligible faculty votes are conducted for the renewal of probationary research or clinical faculty contracts in the penultimate contract year. A positive recommendation from the eligible faculty is secured when two-thirds of the votes cast are positive.

6. Tenure

Eligible faculty votes to provide tenure to probationary tenure-track faculty previously hired at senior rank without tenure may occur in unusual circumstances. A positive recommendation from the eligible faculty is secured when two-thirds of the votes cast are positive.

IV. Appointments

A. Criteria

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

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 doctoral degree have not been completed by the candidate at the time of appointment. The department will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the third year of appointment, the third year is a terminal year of employment.

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

Assistant Professor. An earned doctoral degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for high scholarly achievement, high-quality teaching, and high-quality service to the department and the profession is essential. The candidate should also show promise of the ability to build a sustainable research program of high impact. 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 Promotion and Tenure Committee determines such a review to be appropriate.

Associate Professor and Professor. Appointment at senior rank requires that the individual, at a minimum, meet the department's criteria in teaching, research, and service for promotion to these ranks (Section VII). In cases where the candidate does not have prior experience teaching or advising graduate students, teaching ability will be defined by the criteria set forth for the appointment of tenure-track Assistant Professors. The assessment of international candidates requires consideration of the nature of teaching and research support activities in the candidate's country. In all cases the candidate must have demonstrated superior contributions to his or her research area in the form of well recognized and highly respected research contributions as evidenced by a strong publication record and national recognition of his or her research contributions.

Appointment at senior rank normally entails tenure. A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Dean and Office of Academic Affairs, with review for tenure (but not necessarily promotion) occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

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

2. Tenure-track Faculty—Regional Campus

There are no tenure-track faculty associated with the Department of Electrical and Computer Engineering on Regional Campuses.

3. Clinical Faculty

Appointment of clinical faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to clinical faculty. There is no presumption that subsequent contracts will be offered, regardless of performance. If the department wishes to consider contract renewal, a review of the faculty member is required in the penultimate year of the current contract period. The policies on appointment must be consistent with Section 3.1.3 of the College of Engineering Appointments, Promotion, and Tenure Document and Faculty Rule 3335-7 (<http://trustees.osu.edu>). For more information see Faculty Rule 3335-7 (<http://trustees.osu.edu>) and Section V-D.

Clinical faculty in the Department will be referred to as “(Assistant, Associate, or Full) Professor of Practice in Electrical and Computer Engineering”. Distinctions among ranks are based on the level of distinction attained by the candidate. Clinical faculty may participate with voting rights in matters of governance and committee service at the Department level, except that they cannot participate or vote on promotion and tenure matters of tenure-track faculty.

Assistant Professor of Practice. The successful candidate must provide clear evidence of capability in his/her area of specialization and experience in the practice of the discipline. The successful candidate must possess the background and ability to share and transfer knowledge to students. Normally, the successful candidate will have an earned doctorate or other terminal degree in his/her relevant field. Professional publications and teaching experience are helpful but not required.

Associate or Full Professor of Practice. The successful candidate must meet or exceed the Department criteria for promotion to these ranks (Section VII-A.5). In the case of a candidate who has no previous appointment as an assistant professor of practice or tenure- assistant professor, the candidate must have demonstrated superior proficiency in the practice of the discipline, as evidenced by reference letters, and must possess the background and ability to share and transfer knowledge to students

4. Clinical Faculty – Regional Campus

The criteria for the appointment of clinical faculty on a regional campus are identical to those on Main Campus.

5. Research Faculty

Appointment of research faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is no presumption that subsequent contracts will be offered, regardless of performance. If the department wishes to consider contract renewal, a review of the faculty member is required in the penultimate year of the current contract period. The policies on appointment must be consistent with Section 3.1.4 of the College of Engineering Appointments, Promotion, and Tenure Document and Faculty Rule 3335-7 (<http://trustees.osu.edu>). For more information see Faculty Rule 3335-7 (<http://trustees.osu.edu>) and Section V-E.

Research faculty may participate with voting rights in matters of governance and committee service at the Department level, except that they cannot participate or vote on promotion and tenure matters of tenure-track or clinical faculty. Other governance rights of research faculty are contained in Faculty Rule 3335-7-37.

Research Assistant Professor. Appointment at the rank of research assistant professor requires that the individual have a doctorate and a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program.

Research Associate Professor and Research Professor. Appointment at the rank of research associate professor or research professor requires that the individual have a doctorate and meet, at a minimum, the department's criteria for promotion to these ranks (Section VII-A.6).

6. Research Faculty – Regional Campus

There are no research faculty associated with the Department of Electrical and Computer Engineering on regional campuses.

7. Associated Faculty

Associated appointments are made for no more than one year at a time. Such appointments expire on or before a date specified by the College of Engineering in the fiscal year in which the appointment commences. Faculty joint appointees with FTEs below 50% in the department, associated faculty, and emeritus faculty may be invited to participate in discussions on non-personnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter.

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments are never compensated. Adjunct faculty appointments are given to individuals who volunteer considerable uncompensated academic service to the department, such as teaching a course, for which a faculty title is appropriate. Adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty. In the event that the department wishes to compensate an adjunct faculty member for work other than the voluntary service for which the adjunct title is provided, a concurrent appointment of limited duration as lecturer, workshop leader, etc. may be added for that purpose.

Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor. Associated clinical appointments may either be compensated or not compensated. Associated clinical rank is determined by applying the criteria for appointment of clinical faculty. Associated clinical faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of clinical faculty.

Lecturer. Appointment as lecturer requires that the individual have, at a minimum, a Master's degree or equivalent 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 the criteria for appointment to that rank are met. The Lecturer position is to be used only when a specific instructional need is identified in the Department.

Senior Lecturer. Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree or equivalent and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The Senior Lecturer position is to be used only when a specific instructional need is identified in the Department.

Assistant Professor, Associate Professor, Professor with FTE below 50%. Appointment at these titles is for individuals at 49% FTE or below, either compensated or uncompensated. The rank of associated faculty with titles is determined by applying the criteria for appointment of tenure-track faculty.

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

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.

The visiting faculty rank is typically conferred on candidates who hold a faculty appointment at another institution. Visiting faculty appointments may either be compensated or not 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-tenure-track 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. They may not be reappointed for more than three consecutive years at 100% FTE. Appointment of a visiting faculty member can occur only if the candidate will be collaborating with a faculty member of the Department. Evidence of the collaboration should be provided in a letter from the nominating faculty member to the Department Chair. See Section IV.B.7 for additional information.

8. Associated Faculty- Regional Campus

There are no associated faculty in the Department of Electrical and Computer Engineering on regional campuses.

9. Courtesy Appointments for Tenure-track, Clinical, and Research Faculty

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

B. Procedures

See Volume 1 in the Office of Academic Affairs [Policies and Procedures Handbook](http://oaa.osu.edu/handbook.html) (<http://oaa.osu.edu/handbook.html>) on the following topics:

- recruitment of tenure-track, clinical 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

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must be consistent with the university policies set forth in the most recent update of [A Guide to Effective Searches](http://www.hr.osu.edu/hrpubs/guidesearches.pdf) (www.hr.osu.edu/hrpubs/guidesearches.pdf).

Searches for tenure-track faculty proceed as follows:

The dean of the college provides approval for the department to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The Personnel Committee, appointed by the Department Chair, shall be responsible for conducting searches for new faculty members, in compliance with university policies. This committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the university Personnel Postings through the Office of Human Resources Employment Services (www.hr.osu.edu/) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertising using at least one 30-day online ad in a national professional journal. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally professional journal.
- Identifies leading candidates. Candidates will normally be invited to visit the Department to speak with the Department Chair and members of the faculty, and to deliver a prepared lecture at a Departmental Colloquium. All faculty members shall be asked to review the candidate's resume and make pertinent comments to the Personnel Committee and to the Department Chair. The Personnel Committee will solicit additional input from the relevant areas.
- Takes an informal poll of the tenure-track faculty for initial appointment consideration (with clinical faculty added for clinical appointments and research and clinical faculty added for research appointments.) The poll will ask the question: "Do you support the hiring of _____ in the Department of Electrical and Computer Engineering?" This poll may be handled electronically. For cases where an offer of senior rank is being considered by the personnel committee, a second question is included that states: "The personnel committee recommends that the appointment be at the rank of ____; do you agree with this recommendation?" The poll will direct only faculty in the rank equal to or higher than the recommended appointment rank to answer the second question. Note that this initial rank recommendation is advisory only; any subsequent offer that results at senior rank is required to undergo a later formal evaluation and vote by the eligible faculty.
- Presents the results of the vote, along with written recommendations from the Personnel Committee and relevant areas, to the Department Chair. A final decision will be made by the Department Chair only after giving careful consideration to all competing candidates for the position and after reviewing all recommendations of the Personnel Committee, the relevant areas, and consideration of the faculty vote. In the event that more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the Department Chair. The Department Chair must obtain approval from the Dean of any offer letter to be sent to a selected candidate.

Additional appointment procedures include:

- After the successful appointment of the new faculty member, the Department Chair will determine and appoint an appropriate mentor or mentors to aid the new faculty member with regard to procedures and processes of research, teaching and service within the University.
- In the case of conflict of interest, or familial or comparable relationship with the candidate, any conflicted faculty members will not be involved in the search process and will not be allowed to vote on the candidate.
- All offers at the associate professor and professor ranks, with or without tenure, and all offers of prior service credit require the prior approval of the Dean and the Office of Academic Affairs. Offers to foreign nationals require prior consultation with the Office of International Affairs.
- For offers at the Associate or Full Professor ranks, with or without tenure, an evaluation by the Promotion and Tenure Committee and a discussion and vote by the eligible faculty (this is the “second eligible faculty” defined for tenure-track faculty appointments) are required. Procedures are identical to those for promotion review of tenure- faculty, with the exception that some recommendation letters may be included. Before the evaluation, candidates are given the opportunity to provide additional material on their research, teaching, and service record beyond that provided with their application.

2. Tenure-track Faculty—Regional Campus

There are no tenure-track faculty associated with the Department of Electrical and Computer Engineering on regional campuses.

3. Clinical Faculty

Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview is on professional practice rather than research. Highly qualified clinical candidates may occasionally be considered for appointment without a national search, but only when there is a reasonable likelihood that a national search would not result in finding more highly qualified and/or more diverse candidates. The Dean must first approve the decision to interview a candidate without a national search. The Department Chair determines the details of the offer, including the length of the initial contract subject to approval by the Dean.

Appointments at the rank of Associate Professor of Practice or Professor of Practice require evaluation by the Promotion and Tenure Committee, and a discussion and vote by the eligible faculty (this is the “second eligible faculty” defined for clinical faculty appointments) are required. This includes a requirement for external evaluation letters commenting on the candidate’s credentials in teaching and/or professional practice, although recommendation letters may also be included.

4. Clinical Faculty – Regional Campus

The regional campus has primary responsibility for determining the position description for a clinical faculty search, but the dean/director or designee must reach agreement with the ECE department chair on the position before the search begins. The regional campus search committee must include at least one representative from the department.

Candidates are interviewed by, at a minimum, the regional campus dean, department chair, department eligible faculty, and regional campus search committee. The regional campus may have additional requirements for the search not specified in this document. A decision to make an offer requires agreement by the department chair 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 department chair and the regional campus dean.

5. Research Faculty

Searches for research faculty generally proceed identically as for tenure-track faculty, although highly qualified research candidates may be considered for appointment without a national search. The Dean must first approve the decision to interview a candidate without a national search. Sources of funding for research faculty positions must also be identified and secured prior to appointment. The department chair determines the details of the offer, including the length of the initial contract subject to approval by the Dean.

Appointments at the rank of Associate Research Professor or Research Professor require evaluation by the Promotion and Tenure Committee and a discussion and vote by the eligible faculty (this is the “second eligible faculty” defined for research faculty appointments). This includes a requirement for external evaluation letters, although recommendation letters may also be included.

6. Transfer of Appointment

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

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

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

7. Associated Faculty

The appointment, review, and reappointment of all compensated associated faculty, such as lecturers and faculty members with less than 50% appointments, is decided by the department chair in consultation with the department Advisory Committee. All offer letters to associated faculty members require approval by the College.

Appointment of adjunct or visiting faculty may be proposed by any faculty member in the department. The proposal for adjunct faculty is considered by the personnel committee and if approved, the department chair extends an offer. The departmental approval of an offer for visiting faculty is provided solely by the department chair.

Associated appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Adjunct appointments may be renewed only when the uncompensated academic service for which the appointment was made continues. Visiting appointments are limited to three consecutive years at 100% FTE. Lecturer appointments are usually made on a

semester or annual basis. After the initial appointment, and if the department's curricular needs warrant it, a multiple year appointment may be offered.

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

8. Courtesy Appointments for Tenure-track, Clinical, and Research Faculty

Any department faculty member may propose a 0% FTE (courtesy) appointment for a faculty member from another Ohio State department. The faculty advocate must provide a letter justifying the need for the courtesy appointment. In addition, the candidate must provide a resume and any other pertinent information detailing the candidate's research record.

The Personnel Committee will evaluate the candidate's documentation and, on that basis, make a recommendation to the Department Chair as to the candidate's suitability for the position. The Department Chair shall then either accept or reject the candidate's request. The faculty member who receives the courtesy appointment is expected to provide an activity report every year, describing the contributions made to the Department. The appointment will be evaluated every fifth year, and if the contributions to the Department are insubstantial, the Department Chair will terminate the courtesy appointment. However, the Department Chair can also terminate the appointment at any time should it be determined the appointment is not in the best interests of the Department.

V. Annual Review Procedures

The department follows the requirements for annual reviews as set forth in the Faculty Annual Review Policy (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>).

The annual reviews of every faculty member are based on expected performance in teaching, research, and service as set forth in the department's policy on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

The documentation required for the annual performance review of every faculty member is described in Section VI-C. This material must be submitted to the department chair no later than January 31st. Probationary tenure-track faculty must also submit the additional materials described in Section V-A.

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

A Probationary Tenure-track Faculty

Every probationary tenure-track faculty member shall annually complete a dossier in the standard format for promotion and tenure as defined by the Office of Academic Affairs. The probationary faculty member is responsible for preparing and maintaining this document, and will submit it to the Department by January 31st.

The annual reviews for the first three years and for the fifth year will be conducted by the Department Chair in consultation with the Promotion and Tenure Committee. Both the Department Chair and Promotion and Tenure Committee will evaluate the dossier. The Department Chair, with input from

Promotion and Tenure Committee, will generate a letter concerning the progress of the individual in research, teaching, and service, respectively. Following a face-to-face meeting between the Department Chair and the probationary faculty member, this letter will be given to the probationary faculty member and will include a recommendation on whether to renew the probationary appointment.

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

If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-04 [<http://trustees.osu.edu>]) 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. Regional Campus Faculty

There are no probationary tenure-track faculty associated with the Department of Electrical and Computer Engineering on regional campuses.

2. Fourth-Year Review

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

At the conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04 [<http://trustees.osu.edu>]) is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal.

3. Exclusion of Time from Probationary Period

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

B. Tenured Faculty

The Department Chair will meet with every tenured faculty member annually to discuss the faculty member's performance and future goals and plan. This meeting is followed by a written review from the Department Chair for each faculty member of the Department. This review should provide feedback on research, teaching, service, and departmental citizenship. Within 10 days after receiving the review letter, a faculty member may respond in writing to the annual review, and this response also becomes a part of that faculty member's file.

It is the responsibility of the Department Chair to ensure that candid, constructive, and appropriate feedback is given to the faculty through this process. To this end, the Department Chair may actively

consult with other members of the faculty, for example laboratory directors or other collaborators and associates of the faculty member, as deemed appropriate.

C. Tenured Faculty—Regional Campus

There are no tenured faculty associated with the Department of Electrical and Computer Engineering on regional campuses.

D. Clinical Faculty

Annual review procedures for clinical faculty differ for probationary and non-probationary faculty, and also for both probationary and non-probationary faculty in the penultimate contract year. Note that the initial contract of all clinical faculty members is probationary regardless of the academic rank at hire. The duration of the initial contract defines the length of the probationary period.

Nonprobationary, not penultimate year: Annual reviews follow procedures identical to those for tenured tenure-track faculty.

Nonprobationary, penultimate year: There is no presumption of reappointment at the end of a contract period. At the beginning of each penultimate contract year of a clinical faculty member's appointment, the Department Chair will consult with the department Advisory Committee and with the Dean to determine whether the position held by the faculty member will continue. If the position will not continue, the Department Chair should inform the faculty member that the final contact year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu/>) must be observed. No annual review is required in this situation.

If the position will continue, the annual review in the penultimate year is conducted following procedures identical to those for annual reviews of tenured tenure-track faculty (i.e. conducted by the Department Chair only), and the Department Chair recommends whether it is appropriate to renew the candidate's contract. If the Department Chair recommends renewal, the decision is forwarded to the Dean. If the Department Chair does not recommend contract renewal, an additional review of the candidate's record occurs in the Department's Promotion and Tenure Committee (this process is similar to that conducted in annual reviews of probationary tenure-track faculty). The Promotion and Tenure Committee produces an additional letter that includes a recommendation on whether to renew the faculty member's contract; this letter is forwarded with the Department Chair's letter for consideration by the Dean, and the Dean makes the final decision.

Probationary, not penultimate year: Probationary clinical faculty members must annually provide documentation in the format described in Section VI-C. A face-to-face meeting between the candidate and the Department Chair is required for any annual review of a probationary clinical faculty member. The annual review letter is written by the Department Chair, who may seek input from other faculty members as deemed necessary. Copies of all annual review letters for probationary clinical faculty members, along with any written comments from the candidates, must be provided to the Dean. The Department Chair's letter recommends whether it is appropriate to renew the candidate's contract. If the Department Chair recommends renewal, the decision is final. If the Department Chair does not recommend contract renewal, the "penultimate year" procedures described below are invoked.

Probationary, penultimate year: There is no presumption of reappointment at the end of a contract period. At the beginning of the penultimate contract, the Department Chair consults with the department Advisory Committee and with the Dean to determine whether the position held by the faculty member will continue. If the position will not continue, the Department Chair should inform the faculty member that the final contact year will be a terminal year of employment. The standards of notice set forth in

Faculty Rule 3335-6-08 (<http://trustees.osu.edu>) must be observed. No annual review is required in this situation.

If the position will continue, the candidate must provide a complete and accurate dossier that follows the Office of Academic Affairs dossier outline; sections that are not applicable should be included but marked as not applicable. An eligible faculty meeting and vote on renewal of the contract is conducted, and a letter summarizing the outcome and discussion is provided to the Department Chair by the Promotion and Tenure Committee. A face-to-face meeting between the candidate and the Department Chair is then required, and a review letter is written by the Department Chair. The Department Chair's letter provides an additional recommendation of whether it is appropriate to renew the candidate's contract. The Department Chair's letter, the Promotion and Tenure Committee letter, and copies of all annual review letters, along with any written comments from the candidates, are then provided to the Dean. The Dean makes the final contract renewal decision.

E. Clinical Faculty – Regional Campus

Annual review of the clinical faculty member is first conducted on the regional campus, with a focus on teaching and service. The review then moves to the department and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the department, the department chair discusses the matter with the regional campus dean/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

F. Research Faculty

Annual review procedures for research faculty differ for probationary and non-probationary faculty, and also for both probationary and non-probationary faculty in the penultimate contract year. Note that the initial contract of all research faculty members is probationary regardless of the academic rank at hire. The duration of the initial contract defines the length of the probationary period.

Nonprobationary, not penultimate year: Annual reviews follow procedures identical to those for tenured tenure-track faculty.

Nonprobationary, penultimate year: There is no presumption of reappointment at the end of a contract period. At the beginning of each penultimate contract year of a research faculty member's appointment, the Department Chair will consult with the Department's advisory committee and with the Dean to determine whether the position held by the faculty member will continue. If the position will not continue, the Department Chair should inform the faculty member that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu>) must be observed. No annual review is required in this situation.

If the position will continue, the annual review in the penultimate year is conducted following procedures identical to those for annual reviews of tenured tenure-track faculty (i.e. conducted by the Department Chair only), and the Department Chair recommends whether it is appropriate to renew the candidate's contract. If the Department Chair recommends renewal, the decision is forwarded to the Dean. If the Department Chair does not recommend contract renewal, an additional review of the candidate's record occurs in the Department's Promotion and Tenure Committee (this process is similar to that conducted in annual reviews of probationary tenure-track faculty). The Promotion and Tenure Committee produces an additional letter that includes a recommendation on whether to renew the faculty member's contract; this letter is forwarded with the Department Chair's letter for consideration by the Dean, and the Dean makes the final decision.

Probationary, not penultimate year: Probationary research faculty members must annually provide documentation in the format described in Section VI-C. A face-to-face meeting between the candidate and the Department Chair is required for any annual review of a probationary research faculty member. The annual review letter is written by the Department Chair, who may seek input from other faculty members as deemed necessary. Copies of all annual review letters for probationary research faculty members, along with any written comment from the candidates, must be provided to the Dean. The Department Chair's letter recommends whether it is appropriate to renew the candidate's contract. If the Department Chair recommends renewal, the decision is final. If the Department Chair does not recommend contract renewal, the "penultimate year" procedures described below are invoked.

Probationary, penultimate year: There is no presumption of reappointment at the end of a contract period. At the beginning of the penultimate contract year, the Department Chair consults with the Department's advisory committee and with the Dean to determine whether the position held by the faculty member will continue. If the position will not continue, the Department Chair should inform the faculty member that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu>) must be observed. No annual review is required in this situation.

If the position will continue, the candidate must provide a complete and accurate dossier that follows the Office of Academic Affairs dossier outline; sections that are not applicable should be included but marked as not applicable. An eligible faculty meeting and vote on renewal of the contract is conducted, and a letter summarizing the outcome and discussion is provided to the Department Chair by the Promotion and Tenure Committee. A face-to-face meeting between the candidate and the Department Chair is then required, and a review letter is written by the Department Chair. The Department Chair's letter provides an additional recommendation of whether it is appropriate to renew the candidate's contract. The Department Chair's letter, the Promotion and Tenure Committee letter, and copies of all annual review letters, along with any written comments from the candidates, are then provided to the Dean. The Dean makes the final contract renewal decision.

VI. Merit Salary Increases and Other Rewards

A. Criteria

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

On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to recognize non-continuing contributions that justify reward but do not justify permanent salary increases. Such payments/rewards are considered at the time of annual salary recommendations.

Meritorious performance in teaching, research, and service are assessed over the past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all applicable areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

B. Procedures

The department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the department chair relies upon the results of the annual review and considers market and internal equity issues as appropriate.

Faculty members who wish to discuss dissatisfaction with their salary increase with the department chair should be prepared to explain how their salary (rather than the increase) is inappropriately low, since increases are solely a means to the end of an optimal distribution of salaries.

C. Documentation

The annual performance review of every faculty member requires that the documentation described below be submitted to the department chair no later than January 31st:

- updated CV, which will be made available to all faculty in an accessible place
- An annual report whose format is determined by the Department Chair. In particular, the report should describe the faculty member's accomplishments in teaching, research, and service during the previous calendar year, and any other information deemed pertinent by the faculty member or requested by the Department Chair. Examples of such "other information" can include indicators of special recognition of the faculty member, special service endeavors, external awards, etc.

VII. Promotion and Tenure and Promotion Reviews

A. Criteria

Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) provides the following additional 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.

1. Promotion to Associate Professor with Tenure

Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) provides the following general criteria for promotion to associate professor with tenure:

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

Tenure is not awarded below the rank of associate professor at The Ohio State University.

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

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping the department's ability to perform and to progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. Excellence in teaching, research, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics:

<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm> .

The accomplishments listed below in the areas of teaching, research, and service are expected of faculty for promotion to associate professor with tenure. In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

Teaching

For promotion to associate professor with tenure, a faculty member is expected to have:

- provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge
- demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm
- demonstrated creativity in the use of various modes of instruction, classroom technology, and other 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
- served as advisor to an appropriate number of graduate students given the department's graduate student/faculty ratio and the faculty member's area(s) of expertise
- engaged in documentable efforts to improve teaching

Consistency is a key aspect of the candidate's evaluation with respect to teaching. Generally poor teaching evaluations punctuated by the occasional good, or even excellent, performance are not considered sufficient for promotion and tenure. This is especially true if the better evaluations are clustered at the end of the probationary period and do not appear to be the result of a steady effort toward improvement, but rather suggest application of just enough effort to fulfill a requirement. Consistency applies in similar fashion to the candidate's performance in graduate student advising and on the various forms of graduate examination committees.

The Department expects the candidate to have taught a variety of material at all academic levels from the undergraduate to the graduate. It is also expected that the candidate will have taught a range of class sizes. Significant differences among the areas, departmental needs, scheduling matters, and other opportunities will impact the degree of diversity represented in the candidate's teaching history. Many of these factors will lie beyond the candidate's control, but it remains desirable that the candidate's teaching record demonstrate excellence in a variety of instructional situations.

Research

Successful candidates will demonstrate a well-developed research program with a healthy prognosis for future growth. Characteristics of such programs include:

- (1) Archival publications that demonstrate a research identity that is independent of the candidate's own doctoral advisor and of other faculty members at The Ohio State University or elsewhere;
- (2) The demonstrated ability to develop graduate students as apprentice researchers and to advise them effectively through their graduate programs;
- (3) The demonstrated ability to independently seek and receive external funding to support research activities; and
- (4) National and international recognition as someone who has the potential to be one of the top researchers in his or her field.

Evidence of consistency must be very clear. A burst of activity in the year or two just prior to consideration for promotion and tenure may not be considered favorably, because it fails to support the belief that consistent, high-quality work may be expected of the candidate in the future.

We establish the following research criteria specific to promotion to Associate Professor with tenure:

Publication: The successful candidate will have published a body of papers in peer reviewed journals and/or conferences of high quality that clearly demonstrates creation of an independent research program over time, and contributes substantively to knowledge in the area of focus. Publications should be thematically focused. There should be evidence of growing influence on the work of others. The successful candidate will possess a record of publication that is both consistent and increasing in magnitude over time. It is typical that a successful candidate might have a slower rate of publication at the outset of his/her career due to establishment of his/her research program, but successful candidates are expected to be well beyond this by the time of promotion review, and there should be clear evidence of continued scholarship beyond promotion.

While it is typical that the candidate will include publications co-authored with the doctoral advisor, a significant portion of the publications, especially the archival publications, should be authored by the candidate with his or her own graduate students. Collaborative research efforts are encouraged as these

can strengthen the candidate's research program; however the candidate is cautioned to ensure that the publication record clearly demonstrates independent contributions.

A complete publication record will include more than archival journal papers. Conference papers (both refereed and otherwise), books, book chapters, magazine articles, patents and invention disclosures and so on are all worthy products of the faculty member's research enterprise. Generally, these are considered to be secondary to the archival output, but in some research areas more consideration is warranted, especially for those research areas where refereed conference publications are deemed more prestigious than their journal counterparts. To have a significant impact on the candidate's case, it is imperative that the conferences involved be widely recognized as refereed, highly selective, and of high quality. The visibility of the conference as a focal point for research in the area must be clearly established.

Graduate Student Development: Consistent with educational objectives, the successful candidate will be advising a group of graduate students at varying stages of progress in their own development as apprentice researchers, with clear evidence of support to the graduate students through extramural funding and evidence of publishing with these students. It is expected that the successful candidate will have already graduated at least one PhD student or be close to achieving this goal. It is also expected that there be clear evidence for a graduate student advisee population that will sustain growth of the research program beyond promotion.

Extramural Research Funding: The successful candidate will have demonstrated an ability to obtain and potential to sustain research program funding. Research funding is a means to an end; funding that has not led to research productivity is disregarded in the review. The successful candidate will have a research record that includes consistent evidence of proposal development and submission for which the candidate is the Principal Investigator. There should be clear evidence that the candidate can independently generate funding for his/her research program that is sufficient to support graduate students and the specific expenses to carry out the particular research program. Funding for which the candidate serves as Co-Principal Investigator, while also supportive of a research program, does not substitute for that in which the candidate is the Principal Investigator or Sole Investigator. There should also be clear and compelling evidence for sustainable funding beyond promotion, through evidence of ongoing programs, pending proposals and so on.

Reputation: 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.

Ethics: The candidate should have demonstrated a high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

Service

For promotion to associate professor with tenure, a faculty member is expected to have:

- made substantive contributions to the governance of the department in a manner that facilitates positive contributions by others
- demonstrated the potential for useful contributions to the profession

Relevant professional service activities include service as a reviewer of journal articles or conference submissions, as an editor or associate editor of scholarly journals, service on conference organization committees, service to professional societies, and participation in review panels.

2. Promotion to Professor

Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) establishes the following general criteria for promotion to the rank of professor:

Promotion to the rank of professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service.

The specific criteria in teaching, research, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and increasing quality and quantity of contributions, a record of continuing professional growth, and evidence of established national and international reputation in the field. The Department reviews the entire application for this promotion but most heavily weights the activities of the 5-7 years leading up to the application for consideration of promotion and expects very clear indication that excellent performance will continue well beyond promotion.

Teaching

For promotion to full professor, the candidate should have a consistent record of good classroom performance, as documented by student and peer evaluations. He or she is expected to be actively involved in curriculum development consistent with the needs of the Department and the area. The candidate is expected to have advised to completion a number of Ph.D. students and participated in examination committees. In addition, Ph.D. advisees in various stages of their programs are also expected.

Research

For promotion to full professor, the candidate should have a research record of impact that is nationally and internationally recognized by scholars in his or her area. This should be supported by the external evaluation letters and documented by citations by other authors. Other indicators of this impact include a significant body of publications in refereed journals, conference proceedings, book chapters and in other forms, particularly in high quality archival journals. In addition, evidence of a well-developed, successful research program is required; examples of such evidence include multiple Ph.D. students advised to completion, the placement of PhD's in prestigious institutions, and a long-term (e.g. > 5 years immediately leading to the promotion consideration) sustained record of funding at a level beyond the requirements for promotion to associate professor with tenure and at a level consistent with the candidate's research area. There should also be evidence of significant on-going research activities that includes papers in review, continuing grants/contracts and/or submitted proposals, a steady flow of graduate students receiving graduate degrees, and a presence of advisees at different stages in their programs.

Service

The well-rounded member of the faculty of a premier institution such as The Ohio State University is expected to assume a leadership role in his or her research community and its professional activities. For promotion to full professor, service in leadership roles at the national (international) level is expected. This could be in the form of editorships of prestigious journals, conference organization committees,

service to professional societies and review panels. In addition, we also expect our faculty to carry their fair share of the service burden to the Department and the rest of the OSU community. For promotion to full professor, some level of service and leadership in college and university committees is also desirable.

3. Tenure-track Faculty - Regional Campus

There are no tenure-track faculty associated with the Department of Electrical and Computer Engineering on Regional Campuses.

4. Clinical Faculty

- All clinical faculty must be engaged in teaching, the development of the Department academic program, and the mentoring of students
- All clinical faculty must contribute to the scholarly mission of the Department, College, and University
- All clinical faculty must contribute to service and thereby demonstrate a commitment to citizenship and collegiality

The teaching activities of clinical faculty must be consistent with the rationale for having clinical faculty in the Department; these activities consist of teaching courses that involve the practice of engineering. The scholarly emphasis of clinical faculty is expected to be different from that of tenure-track and research faculty; clinical faculty would be more engaged in activities that advance the state of the art and practice of engineering. The venues appropriate for dissemination of such scholarly contributions therefore may be very different from those expected of tenure-track faculty. Scholarly and professional service activities of clinical faculty may emphasize interaction with industry rather than with a research community. Other emphases may include the mentoring of students in Master's or Professional Master's degree programs, or a focus on applied research and development with such students, including design, implementation, or evaluation and testing.

Promotion to Associate Professor of Practice: Promotion to Associate Professor Practice should be based on the candidate's

- Accomplishment in the area of teaching
- Contribution to the scholarly mission of the Department, College, and University
- Promise of continued professional growth

Subject to the different emphases for clinical faculty in teaching, scholarship, and service described in this section, the criteria for promotion are similar to those for promotion to Associate Professor for tenure-track faculty. It is recognized that teaching activities of clinical faculty (in contrast to those of Tenure-track faculty) may show greater emphasis in areas such as laboratory development (e.g. lab manual authorship), design project supervision, supervising students teams in project competitions, advising student organizations, or interactions with industry.

Promotion to Professor of Practice: Promotion to Full Professor Practice should be based on the candidate's

- Sustained accomplishment in the area of teaching
- Continued contributions to the scholarly mission of the Department, College, and University

Subject to the different emphases for clinical faculty in teaching, scholarship, and service described in this section, the criteria for promotion are similar to those for promotion to Professor for tenure-track faculty. It is recognized that teaching activities of clinical faculty (in contrast to those of Tenure-track

faculty) may show greater emphasis in areas such as laboratory development (e.g. lab manual authorship), design project supervision, supervising students teams in project competitions, advising student organizations, or interactions with industry. Such contributions when present should be sustained and outstanding for successful promotion to Professor of Practice.

5 Clinical Faculty – Regional Campus

The criteria for promotion of clinical faculty on a regional campus are identical to those on Main Campus.

6. Research Faculty

Promotion to Research Associate Professor: For promotion to research associate professor, a faculty member must have a substantial record of high-quality focused research consistent with an appointment devoted solely to research. Publications in high-quality peer-reviewed venues are required, as well as external evaluator comments that indicate the candidate's substantial positive impact on the field. A record of continuous funding support is required along with evidence of a growing national reputation. The criteria for promotion are similar to those under the research and service categories for promotion to Associate Professor with tenure. It is recognized however that research faculty are often engaged in research that applies and transitions new technologies into practice, as opposed to purely fundamental research. The importance of maintaining continuous salary support for research faculty is also recognized. The department takes these distinctions into consideration when evaluating candidates; clear evidence of high quality research contributions and of graduate student supervision are required in all cases.

Promotion to Research Professor: For promotion to research professor, a faculty member must have a national and international reputation built on an extensive body of high-quality publications and with demonstrated impact on the field. A record of continuous funding support is required, along with demonstrated research productivity as a result of such funding. The criteria for promotion are similar to those under the research and service categories for promotion to Professor. It is recognized however that research faculty are often engaged in research that applies and transitions new technologies into practice, as opposed to purely fundamental research. The importance of maintaining continuous salary support for research faculty is also recognized. The department takes these distinctions into consideration when evaluating candidates; clear evidence of high quality research contributions and of graduate student supervision are required in all cases.

B. Procedures

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu>) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>).

Consideration of candidates for promotion and tenure requires at least one meeting of the eligible faculty to discuss the candidates. The cases for promotion to full professor are discussed and voted on before those for promotion to associate professor, to allow candidates for promotion to full professor to participate, without any reservations, in the discussion of cases for promotion to associate professor. In this meeting, the eligible faculty consider and discuss the Promotion and Tenure Committee's reports and cast secret ballots. Those who are teleconferenced into the meeting may vote by electronic ballot to the Promotion and Tenure Committee Chair. Ballots shall be retained by the Department Chair in a confidential file for a period of four years. Because of the obvious importance of the meeting of the eligible faculty to the candidates as well as to the future of the Department, each eligible faculty member is expected to attend the meeting in its entirety. Accordingly, the Department Chair will notify each

member in writing, at least one month in advance, of the time, date, location, and expected duration of the meeting.

The following sections, which state the responsibilities of each party to the review process, apply to all faculty s in the department.

1. Candidate Responsibilities

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.
- To submit a copy of the department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.
- If external evaluations are required, candidates are responsible for providing suggested external evaluators as requested by the department chair and/or the Promotion and Tenure Committee chair.

2. Promotion and Tenure Committee Responsibilities

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

- To review this document annually and to recommend proposed revisions to the faculty.
- To include a Procedures Oversight Designee who fulfills the responsibilities described in the Office of Academic Affairs procedural guidelines. The Procedures Oversight Designee cannot be the same individual who chairs the committee.
- To provide an evaluation memo for annual reviews of probationary tenure-track faculty, as described in Section V-A.
- To provide a letter to the Dean for re-appointment consideration of non-probationary research and clinical faculty in cases where non-renewal is recommended by the Department Chair, as described in Sections V-D and V-E.
- To consider requests from faculty members seeking a non-mandatory review in the following academic year and to decide by majority vote whether it is appropriate for such a review to take place.
 - The decision is based on assessment of the record as presented in the faculty member's current dossier submission (see above) and on a determination of the availability of all required documentation for a full review (including student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.

- A tenured faculty member who requests and is denied a promotion review must be granted a subsequent request per Faculty Rule 3335-6-04 (<http://trustees.osu.edu>). If the denial was based on lack of required documentation and the faculty member insists that the subsequent review go forward despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
- Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The promotion and tenure committee chair must confirm with the department chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- A decision to permit a review to take place in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- To provide administrative support for the promotion and tenure review process as described below. For faculty, this process occurs annually in the Autumn; for clinical or research faculty renewal review of probationary contracts in the penultimate contract year, or for appointments at senior ranks this process may occur at other times.
 - Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs or other applicable requirements.
 - Work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - Seek to clarify any inconsistent evidence in the case, where possible.
 - Prepare a presentation describing the candidate's performance in teaching, research and service to present in an eligible faculty meeting.
 - Prepare a summary letter to the Department Chair following the faculty meeting that includes an analysis of the candidate's record, the faculty vote, and a summary of the faculty perspectives expressed during the meeting.
 - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.

The Chair of the Promotion and Tenure committee has the following additional responsibilities:

- To determine suitable external evaluators for promotion or appointment consideration (by May 31 for faculty promotions) through consultation with faculty members in the candidate's research area and the Department Chair.
- To solicit external evaluation letters as required to meet the applicable review schedule (also see External Evaluations below.)

3. Eligible Faculty Responsibilities

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

- To review thoroughly and objectively every candidate's dossier 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.
- To perform peer evaluations of teaching as requested by the Department Chair.

It must be understood that the Promotion and Tenure Committee's report in no way relieves each eligible faculty member of the personal obligation to judge the merits of each candidate for promotion and tenure, balancing higher accomplishments and/or heavier responsibilities in one area against less significant accomplishments in another.

4. Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Tenure-track faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- To make adequate copies of each considered candidate's dossier available in an accessible place for review by the eligible faculty (but secure from others) at least two weeks before the meeting at which specific cases are to be discussed and voted. At no time should the materials provided include anonymous comments or anonymous letters.
- 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 raised during the meeting.
- To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- In the event the Department Chair finds it necessary to depart from the recommendation of the eligible faculty, the Department Chair must so inform the eligible faculty in a meeting. The Department Chair should give reasons and invite comments at that meeting or in writing within 2 business days.
- To inform each candidate in writing upon completion of the department review process:
 - of the recommendations by the eligible faculty and department chair

- of the availability for review of the written evaluations by the eligible faculty and department chair
 - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrants response for inclusion in the dossier.
 - To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
 - To provide a written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units to the department chair of the other tenure-initiating unit by the date requested.
 - To determine the continuation status of research and clinical faculty positions in the contract penultimate year, and conduct the applicable re-appointment review process for continuing positions.
 - To conduct a program of peer evaluation of teaching for all Assistant and Associate Professors, so that at least one peer evaluation is obtained annually for each Assistant and Associate Professor. The necessary evaluations include attendance at a class taught by the faculty. A standard form for completion of the review is provided by the Department Chair. The Department Chair will assign review duties annually to Associate (for review of Assistant Professors) or Full (for review of Assistant or Associate Professors) Professors.

5. Procedures for Regional Campus Faculty

Regional campus faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The regional campus review focuses on teaching and service.

The regional campus dean/director forwards the written evaluation and recommendation of the regional campus review to the department chair, from which point the review follows the procedures described for the Columbus campus faculty.

6. External Evaluations

External evaluations of research and scholarly activity are obtained for all promotion reviews in which research must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research promotion reviews, and all adjunct faculty promotion reviews. External evaluations of research and scholarly activity are not obtained for faculty members on the clinical unless the faculty member has been involved in a significant amount of research, but evaluations of teaching activity may be required by the College of Engineering. The decision to seek external evaluations for a faculty member on the clinical will be made by the department chair after consulting with the candidate, the chair of the Promotion and Tenure Committee, and the Associate Dean for Academic Affairs of the College of Engineering.

A minimum of five credible and useful evaluations must be obtained; typically six letters are included. A credible and useful evaluation:

- Is written by a person highly qualified to judge the candidate's research (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This department will solicit evaluations only from full professors, although in the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and or the usefulness of the letters received, tenure-track faculty evaluation letters are solicited no later than the end of June 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.

As described above, the list of potential evaluators is assembled by the Chair of the Promotion and Tenure Committee using input from department faculty, the department chair, and the candidate. 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 (<http://trustees.osu.edu>) 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 this department requires that the dossier contain letters from evaluators suggested by the candidate.

The Promotion and Tenure Committee Chair will take reasonable steps to verify that all reviewers have an "arm's-length" relationship to the candidate, i.e., not advisors, supervisors, relatives, co-authors, research collaborators, or contract administrators. The outside evaluators will be asked to comment on the technical and professional quality of the candidate, and specifically on:

- Quality of the research, including its significance and impact
- The originality and creativity displayed by the candidate
- The opinion of the outside evaluator as to the quality of the journals in which the candidate has published
- The opinion of the outside evaluator as to the quality and level of selectivity of the conferences in which the candidate has presented work.
- The contribution of the candidate to the profession in terms of service.

In addition, the outside evaluators will be asked to compare the candidate to other people in the same sub-discipline at the same stage in their careers.

All solicited external 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 department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what,

if any, action is warranted (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.

C. Documentation

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. Clinical and Research faculty requesting promotion or undergoing contract renewal review in the penultimate year of a probationary contract should also follow this outline; sections that are not applicable should be included but marked as not applicable. While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate. Tenure-track candidates are encouraged to pay particular attention to the P&T Dossier Checklist which is directed at the candidate and which the candidate will sign.

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

1. Teaching

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

- Cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class; it is the department policy that student evaluations using the SEI are to be performed for every offering of every course, every term. Therefore, the SEI (or its successors) will serve as the instrument for the collection of student evaluations for promotion and tenure purposes.
- Student written comments obtained through the SEI for every class
- 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
- peer evaluation of teaching reports are not provided by the candidate, but are provided to the Promotion and Tenure Committee and eligible faculty by the Department Chair

2. Research

For the time period since the last promotion:

- 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)
- research 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 Department does not require the candidate to provide a numerical percentage of contribution to papers; however, the candidate must provide the percentage contribution and percentage expenditure for grants/contracts.
- The candidate is not required to describe contributions to joint-authored publications in detail, but the candidate may do so if he or she feels that it will benefit the case.
- The candidate can decide how to fulfill the request for a "Description of quality indicators of research, scholarly, or creative work."

3. Service

For the time period since the last promotion:

- 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 department
 - administrative service to college
 - administrative service to university and Student Life
 - advising to student groups and organizations
 - awards and prizes for service to profession, university, or department
- any available documentation (e.g. letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier

VIII. Appeals

Faculty Rule 3335-6-05 (<http://trustees.osu.edu>) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05 (<http://trustees.osu.edu>).

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.

IX. Seventh-Year Reviews

Faculty Rule 3335-6-05 (<http://trustees.osu.edu>) 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.