Appointments, Promotion and Tenure Document

College of Engineering

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1 - Preamble

The Rules of the University Faculty (Faculty Rules), specifically Faculty Rule 3335-6-02 http://trustees.osu.edu/rules6/ru6-02.html requires that each tenure initiating unit (TIU) and the College have an Appointments, Promotion, and Tenure (APT) document. The College of Engineering APT document describes, in general terms, the College’s criteria for appointments, promotion, and tenure within the context of the College’s mission (see Section 2) and the standards set forth in Chapters 6 and 7 of the Faculty Rules http://trustees.osu.edu/rules6/ru6index.html and http://trustees.osu.edu/rules7/ru7index.html. The document also describes the College’s procedures for reviewing for approval TIU faculty appointments and for conducting college level reviews for promotion and tenure.

The College APT document supplements Chapters 6 and 7 of the Faculty Rules, the Office of Academic Affairs (OAA) annually updated policies and procedures handbook (http://oaa.osu.edu/handbook/tc..html), and any additional policies established by the University. Should those rules and policies change, the College shall follow those new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every five years and on appointment or reappointment of the College Dean.

This document must be approved by the Dean of the College and OAA before it can be implemented. In approving this document, OAA accepts the mission and criteria of the College and delegates to it the responsibility to ensure that the College and its TIUs apply high standards in evaluating continuing faculty candidates for promotion and/or tenure in relation to TIU and College mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 http://trustees.osu.edu/rules6/ru6-01.html. 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/rules6/ru6-02.html and other standards specific to the College; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

This College APT document provides an instrument against which TIU APT documents are evaluated for approval by the College, by setting forth the minimum criteria to be considered in TIU APT documents. Each TIU APT document shall tailor these criteria to fit the TIU mission.

The department chair or school director of each TIU is responsible for ensuring that the TIU revise its APT document to be consistent with this College APT document and with the then current: Faculty Rules, Chapter 6 - Faculty Appointments, Reappointments, Promotion and Tenure and Chapter 7 – Regular Clinical Track Faculty and Regular Research Track Faculty Appointment, Reappointment and Nonreappointment, and Promotion; (2) OAA Policy and Procedures Handbook, in particular, Chapter I, Academic Administration, Subsection – Tenure Initiating Unit Administration, Subsection – Appointments, Promotion, and Tenure Document; and Chapter XI, Promotion and Tenure and Promotion Review, Subsection – Guidelines, Procedures, and Dossier Outline; (3) University, College, and TIU missions; and (4) other relevant policies, procedures, practices, and standards established by the College and the University.
2 – Mission of the College

The College of Engineering and the Knowlton School of Architecture will:

- Foster a learning culture that prepares our students to be key contributors to society
- Provide new knowledge that can be assimilated by our customers and partners
- Create and disseminate new ideas and concepts that expand our understanding of science and engineering
- Be an innovative leader in engineering education
- Be a prime resource for Ohio economic development
- Provide life-long learning for engineers and architects
- Promote and support the purposes of the entire university

3 - Appointments

For each type of faculty appointment (tenure track faculty, auxiliary faculty, courtesy appointment for regular faculty, and if desired, clinical track faculty and/or research track faculty), a TIU APT document must describe: (1) the unit’s criteria for making such an appointment, (2) the evidence to be provided in support of such an appointment, and (3) the unit’s procedures for making such an appointment. It is the expectation of the College that a faculty appointment forwarded from a TIU for approval by the College or a courtesy regular faculty appointment made by a TIU will have been made consistent with that TIU APT document, and other relevant policies, procedures, practices, and standards established by: (1) the College, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

3.1- Criteria

3.1.1 – Tenure Track Faculty

The offeree of a tenure track faculty appointment must have:

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

3.1.1.1 - Tenure Track Assistant Professor

There must be clear and convincing evidence that the offeree of an appointment as a tenure track assistant professor has, at a minimum:

- an earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience;
- a potential for excellence in teaching, as demonstrated by a record of quality teaching and/or excellence in verbal and written communication;
• a potential for excellence in scholarship as demonstrated by having produced a body of research, scholarly and creative work appropriate to the TIU discipline;
• a potential to perform effective service, including a commitment to good citizenship and collegiality within the TIU;
• strong potential to attain tenure and advance through the faculty ranks.

3.1.1.2 - Associate Professor with Tenure

There must be clear and convincing evidence that the offeree of an appointment as an associate professor with tenure has, at a minimum:

• exceeded the College and TIU criteria for appointment as a tenure track assistant professor;
• met or exceeded the College and TIU criteria for promotion to associate professor with tenure.

In addition, a TIU APT document must address how an offeree who has not held a faculty position will be determined to have met the criteria.

3.1.1.3 - Full Professor with Tenure

There must be clear and convincing evidence that the offeree of an appointment as a full professor with tenure has, at a minimum:

• exceeded the College and TIU criteria for appointment as an associate professor with tenure;
• met or exceeded the College and TIU criteria for promotion to full professor.

In addition, a TIU APT document must address how an offeree who has not held a faculty position will be determined to have met the criteria.

3.1.1.4 - Associate or Full Professor without Tenure

Appointments to associate or full professor generally include tenure. However, a probationary period may be granted, in accordance with Faculty Rule 3335-6-03, by petition, for a period not to exceed four years. A TIU must exercise care in making these appointments, especially if the probationary period will be less than four years.

3.1.1.5 - Instructor

Appointment to the position of instructor can be made to an offeree if all of the criteria for the position of a regular tenure-track faculty assistant professor have been met with the exception that the offeree will not have completed the terminal degree at the time of the appointment. Award of the terminal degree must be imminent. Instructor appointments are limited to three years with the last year the terminal year. Therefore, an individual who begins an appointment as an instructor without the terminal degree must complete the terminal degree and be promoted by the beginning of the third year of appointment or that year is the last year of an appointment (ref: Faculty Rule 3335-6-03).
3.1.2 - Regular Clinical Track Faculty
Regular clinical track faculty in the College of Engineering will be referred to as “(Assistant, Associate, or Full) Professor of Practice in [TIU name]”. Distinctions among ranks are based on the level of distinction attained by the candidate.

Criteria and other policies governing appointment of regular clinical track faculty must be consistent with Faculty Rule 3335-7. Reappointment is based on the candidate’s performance and on the continued needs of the TIU.

Regular clinical track faculty may participate with voting rights in matters of governance and committee service at the College level, except that they cannot participate or vote on promotion and tenure matters of regular tenure track faculty [ref: Faculty Rule 3335-7-04(A)]. Each TIU desiring regular clinical track faculty must have a Pattern of Administration (POA) that describes the governance rights to be extended within the TIU to such faculty.

3.1.2.1 – Assistant Professor of Practice

There must be clear and convincing evidence that the offeree of an appointment as assistant professor of practice has, at a minimum:

- capability in the offeree’s area of specialization
- experience in the practice of the discipline
- attained professional accomplishment
- the background and ability to share and transfer knowledge to students

Normally, the offeree will have an earned doctorate or other terminal degree in the relevant field. Professional publications and actual teaching experience is helpful but not required.

3.1.2.2 – Associate Professor of Practice

There must be clear and convincing evidence that the offeree of an appointment as an associate professor of practice has, at a minimum:

- exceeded the College and TIU criteria for appointment as an assistant professor of practice
- met or exceeded the College and TIU criteria for promotion to associate professor of practice

3.1.2.3 – Full Professor of Practice

There must be clear and convincing evidence that the offeree of an appointment as a full professor of practice has, at a minimum:

- exceeded the College and TIU criteria for appointment as an associate professor of practice
- met or exceeded the College and TIU criteria for promotion to full professor of practice
3.1.3 – Regular Research Track Faculty

Criteria and policies associated with research track faculty appointments must be consistent with Faculty Rule 3335-7. Regular research track faculty may participate with voting rights in matters of governance and committee service at the College level, except that they cannot participate or vote on promotion and tenure matters of regular tenure track faculty or regular clinical track faculty [ref: Faculty Rule 3335-7-37]. Each TIU desiring regular research track faculty must have a Pattern of Administration (POA) that describes the governance rights to be extended within the TIU to such faculty. Other governance rights of regular research track faculty are contained in Faculty Rule 3335-7-37.

3.1.3.1 – Research Assistant Professor

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

3.1.3.2 – Research Associate Professor

There must be clear and convincing evidence that the offeree of an appointment as a research associate professor has, at a minimum:

- exceeded the College and TIU criteria for appointment as a research assistant professor
- met or exceeded the College and TIU criteria for promotion to research associate professor

3.1.3.3 – Research (Full) Professor

There must be clear and convincing evidence that the offeree of an appointment as a research professor has, at a minimum:

- exceeded the College and TIU criteria for appointment as a research associate professor
- met or exceeded the College and TIU criteria for promotion to research professor

3.1.4 - Auxiliary Faculty

Faculty Rule 3335-5-19 defines “regular faculty” and “auxiliary” faculty. University policies define compensated auxiliary faculty and no-salary auxiliary faculty. Compensated auxiliary faculty includes lecturers, senior lecturers, faculty with regular titles having appointments less than 50%, and visiting faculty. No-salary auxiliary faculty includes adjunct faculty, faculty with regular titles having a zero percent appointment, and visiting faculty. Auxiliary appointments are made for no more than one year at a time, and must expire not later than June 30 of the fiscal year in which the appointment commences. Auxiliary faculty are not eligible for tenure. Lecturers, senior lecturers, and visiting faculty are not eligible for promotion.

Appointment as lecturer requires that the individual have, at a minimum, a Master’s degree in a field appropriate to the subject matter to be taught along with evidence of the ability to provide high quality instruction. Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter being taught along with
evidence of the ability to provide high quality instruction, or a Master's degree and at least five years teaching experience with demonstration of high quality.

Relevant criteria for appointment of auxiliary faculty with regular faculty titles are those for appointment of regular faculty at the same rank. Visiting faculty may not be appointed for more than three consecutive years at 100% FTE.

3.1.5 - Courtesy Appointments for Regular Faculty

A no-salary joint appointment for regular University faculty from another TIU is a courtesy appointment. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

3.2 – Procedures

3.2.1 – Tenure Track Faculty

Creation of a tenure track faculty position requires prior approval of the Dean. Approved positions must be posted in the University Personnel Postings through the Office of Human Resources. A national search is required unless an exception is approved by OAA. A draft letter of offer to a tenure track faculty candidate, accompanied by the candidate’s curriculum vitae and appropriate letters attesting to the candidate’s qualifications, must be submitted to Engineering Administration for review and approval by the Dean. Engineering Administration will review the draft letter of offer for consistency with the essential components required by the Office of Academic Affairs and by the College.

Appointments that grant prior service credit, or that are at the rank of associate or full professor, require approval of the Office of Academic Affairs. For such appointments, the Dean may consult with the College Promotion and Tenure Committee.

3.2.2 – Regular Clinical Track Faculty

Creation of a clinical track faculty position requires the prior approval of the Dean. Approved positions must be posted in the University Personnel Postings through the Office of Human Resources. A national search is required unless an exception is approved by the Dean. A draft letter of offer to a clinical track faculty candidate, accompanied by the candidate’s curriculum vitae and appropriate letters attesting to the candidate’s qualifications, must be submitted to Engineering Administration for review and approval by the Dean. Engineering Administration will review the draft letter of offer for consistency with the essential components required by the Office of Academic Affairs and by the College.

Appointments at the rank of associate professor of practice or professor of practice require approval of the Office of Academic Affairs. For such appointments, the Dean may consult with the College Promotion and Tenure Committee.

3.2.3 – Regular Research Track Faculty

Creation of a regular research track faculty position requires prior approval of the Dean. Approved positions must be posted in the University Personnel Postings through the Office of Human Resources. A national search is required unless an exception is approved by the Dean.
A draft letter of offer to a research track faculty candidate, accompanied by the candidate’s curriculum vitae and appropriate letters attesting to the candidate’s qualifications, must be submitted to Engineering Administration for review and approval by the Dean. Engineering Administration will review the draft letter of offer for consistency with the essential components required by the Office of Academic Affairs and by the College.

Appointments at the rank of research associate professor or research professor require approval of the Office of Academic Affairs. For such appointments, the Dean may consult with the College Promotion and Tenure Committee.

3.2.4 – Auxiliary Faculty

A draft letter of offer to an auxiliary faculty candidate, accompanied by the candidate’s curriculum vitae, must be submitted to Engineering Administration for review and approval by the Dean. Engineering Administration will review the draft letter of offer for consistency with the essential components required by the Office of Academic Affairs and by the College.

3.2.5 – Courtesy Appointments for Regular Faculty

A copy of a letter of offer of a courtesy appointment for regular faculty, accompanied by the candidate’s curriculum vitae, must be submitted to Engineering Administration at the time an offer is made.

4 – Annual Review Procedures

All regular faculty members and all auxiliary faculty members subject to consideration for reappointment are required to have an annual performance review. The annual review of a faculty member is the responsibility of the appropriate department chair or school director of the TIU to which the faculty member is appointed. Each TIU document must describe the unit’s procedures for conducting annual reviews. Annual reviews are expected to involve eligible TIU faculty and provide a written objective assessment of the candidate’s progress in teaching, scholarship and service. Per Faculty Rule 3335-3-35, the department chair of school director of the TIU is required to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

It is the expectation of the College that an annual review of a faculty member conducted by a TIU will have been made consistent with that TIU APT document, and other relevant policies, procedures, practices, and standards established by: (1) the College, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources. The Dean must review an annual review when there has been submitted by a TIU: (1) a Report of Non-Renewal of Probationary Appointment of Regular Faculty, (2) the fourth year review of a probationary faculty member, or (3) a Report of Contract Renewal or Non-Renewal for Regular Clinical Track Faculty or Regular Research Track Faculty. In each of cases (1), (2) or (3), the decision of the Dean is final [ref: Office of Academic Affairs, Policies and Procedures Handbook, Chapter X, Annual Review].
4.1 – Probationary Tenure Track Faculty

Copies of all annual review letters for probationary tenure track faculty members, along with any written comments to them by the candidate, must be provided to the Dean. A face to face meeting of the candidate with the department chair or school director of the TIU to discuss the annual review is required. Documentation associated with the review must follow the format of the promotion and tenure dossier outline established by OAA.

4.1.1 – Fourth Year Review

Annually, the Dean will establish the latest date for the receipt by the College of dossiers from TIUs for candidates undergoing fourth year reviews. A review by the College Promotion and Tenure Committee is required unless the TIU and Dean agree to reappoint. The fourth year review of a probationary faculty member shall not require the solicitation of external letters of evaluation.

4.1.2 – Changes to Length of Probationary Period

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

4.2 – Tenured Faculty

The College has no special procedures associated with annual reviews of tenured faculty.

4.3 – Regular Clinical Track Faculty

The initial contract of all regular clinical track faculty members is probationary regardless of the academic rank at hire. The duration of the initial contract defines the length of the probationary period. Documentation required in the annual review of a probationary regular clinical track faculty member must follow the format of the promotion and tenure dossier outline established by OAA. A face to face meeting with the candidate by the department chair or school director of the TIU is required for any annual review of a probationary clinical track faculty member. Copies of all annual review letters for probationary clinical track faculty members, along with any written comments to them by the candidate, must be provided to the Dean.

There is no presumption of reappointment at the end of a contract period. At the beginning of each penultimate contract year of a regular clinical track faculty member’s appointment, the department chair or school director of the TIU should consult with the Dean to determine whether the position held by the faculty member will continue. If the position will not continue, the department chair or school director 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 must be observed. No annual review is required in this situation. If the position will
continue, the annual review in the penultimate year will determine whether it is appropriate to renew the candidate’s contract to fill that position.

4.4 – Regular Research Track Faculty

The initial contract of all regular research track faculty members is probationary regardless of the academic rank at hire. The duration of the initial contract defines the length of the probationary period. Documentation required in the annual review of a probationary regular research track faculty member must follow the format of the promotion and tenure dossier outline established by OAA. A face to face meeting with the candidate by the department chair or school director of the TIU is required for any annual review of a probationary research track faculty member. Copies of all annual review letters for probationary research track faculty members, along with any written comments to them by the candidate, must be provided to the Dean.

There is no presumption of reappointment at the end of a contract period. At the beginning of each penultimate contract year of a regular research track faculty member's appointment, the department chair or school director of the TIU should consult with the Dean to determine whether the position held by the faculty member will continue. If the position will not continue, the department chair or school director 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 must be observed. No annual review is required in this situation. If the position will continue, the annual review in the penultimate year will determine whether it is appropriate to renew the candidate’s contract to fill that position.

5 – Merit Salary Increases and Other Rewards

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

5.1 – Criteria

TIUs are strongly encouraged to award merit salary increases consistent with the results of the faculty member’s annual review. Annual merit salary increases and off-cycle salary increases are subject to approval by the Dean.

5.2 – Procedures

Each year, the Dean will establish guidelines and notify the appropriate TIU department chair or school director of the schedule for awarding merit salary increases. Requests for off-cycle salary increases, accompanied by the rationale for the request, must be submitted by the appropriate department chair or school director to the Dean.

5.3 – Documentation

Documentation is expected of all faculty members as part of the annual review procedure. This documentation should include an up to date curriculum vitae.
6 - Promotion and Tenure and Promotion Reviews

6.1 - Criteria

Each TIU must have an APT document that describes [ref: Faculty Rule 3335-6-02(E)]: (1) the unit’s criteria for the award of tenure and promotion to the rank of associate professor, and (2) the unit’s criteria for promotion to the rank of professor. Each TIU desiring clinical track faculty must, in addition, have in its APT document the unit’s criteria for promotion to the rank of associate professor of practice and the unit’s criteria for promotion to the rank of professor of practice. Each TIU desiring research track faculty must, in addition, have in its APT document the unit’s criteria for promotion to the rank of research associate professor and the unit’s criteria for promotion to the rank of research professor. TIU APT documents also must include the evidence to be provided in support of each of the foregoing actions that are relevant to that unit.

The College has three sets of criteria for promotion and tenure, and for promotion: criteria for teaching, scholarship, and service. Evidence of effective contributions in each of these areas must be demonstrated through the documentation of a person’s activities over a period of time.

Teaching is broadly defined to include the imparting of knowledge to and the education of people. The College Vision states that “The College of Engineering and the Knowlton School of Architecture will be cause for Ohio to be internationally recognized as a primary source of creative education, research, technology, design and planning, and as a vital technical asset for sustaining and growing the Ohio economy.” Similarly, the College Mission states that the College and the School will “foster a learning culture that prepares our students to be key contributors to society” and that they will “be an innovative leader in engineering education.”

Teaching activities include undergraduate, graduate, and professional courses taught; involvement in graduate exams, theses, and dissertations; extension and continuing education; curriculum development; evaluation and direction of student scholarship; academic advising; publishing on education in the candidate’s field; advising of student groups and organizations; participation in student affairs programs and student services.

Metrics of effective teaching can include: student and peer evaluation of teaching in the classroom; awards and formal recognition for teaching; evaluation of performance as an advisor and mentor; number, level, and size of courses taught, exit interviews with graduating seniors; alumni surveys; quality of publications on education in the candidate’s field; number of completed Masters theses or Ph.D. dissertations; number and quality of jointly authored publications with graduate students; impact of course and/or curriculum development; effective teaching innovations. The evaluation of a candidate’s teaching should be accomplished within a systematic and comparative evaluation process that includes all faculty within the TIU.

Scholarship is broadly defined to include research, scholarly, and creative work [ref: Faculty Rule 3335-6-02(A)]. More specifically, scholarship may be defined to include the possession, application, and advancement of a body of knowledge gained through research, study, and learning. The College Mission states that the College and the Knowlton School of Architecture will “provide new knowledge that can be assimilated by our customers and partners” and “create and disseminate new ideas and concepts that expand our understanding of science and engineering.”
Scholarly activities include: writing scholarly works such as books and monographs, edited books, chapters in edited books, bulletins and technical reports, peer reviewed journal articles, editor reviewed journal articles, reviews and abstracts, papers in proceedings; presenting lectures at universities, symposia, and conferences; submitting proposals, conducting and directing original research or other creative activities; editing collections of research works; submitting patents; developing software; developing and presenting creative works to juried competitions and exhibits; designing and/or supervising the construction of a creative product (e.g., new building, alloy, machine, device, or software).

Metrics of scholarship include the quantity, quality, and impact of the aforementioned activities, for example, numbers of publications and citations thereto in the context of the publishing landscape of the TIU discipline, numbers of presentations and invited lectures; amount of research funding in the context of the funding landscape of the TIU discipline; awards, prizes, and other forms of professional recognition; letters of evaluation by peers at the national and international level.

Service, or public service as stated in the mission of the University, is broadly defined to include administrative service to the University, professional service to the faculty member’s discipline, and the provision of professional expertise to entities outside the University [ref: Faculty Rule 3335-6-02(A)]. The College Mission states that the College and the Knowlton School of Architecture will “promote and support the purposes of the entire university.”

Evidence of administrative service to the University can include: appointment or election to TIU, College, and/or University committees; administrative positions held; affirmative action and mentoring activities. Evidence of professional service to the faculty member’s discipline can include: editorships of or service as a reviewer for journals or other learned publications; offices held and other service to professional societies; and organization of and service to conferences and symposia. Evidence of the provision of professional expertise to public and private entities beyond the University includes: reviewer of proposals; external examiner; service on panels and commissions; professional consultation to industry, government, and education. Professional expertise provided as a compensated outside professional service alone is insufficient to satisfy the service criterion.

A TIU APT document must describe, for each category of faculty appropriate to the TIU and in a manner consistent with this document: (1) the elaboration of each set of criteria, as appropriate to the specific discipline and TIU, (2) the evidence and metrics expected to be involved in the documentation and assessment of each of the criteria, and (3) the levels of achievement necessary to demonstrate that the criteria are met. The criteria should be met within the context of the TIU’s mission, the standards of Chapters 6 and 7 of the Faculty Rules, and the standards and mission of the College, and the mission of the University. The standards of quality and effectiveness required must be representative of high performance. The College expects that when a TIU forwards the dossier of a candidate for review and has recommended that promotion and tenure or promotion be granted, that the TIU has ensured that the evidence of the qualifications and performance of the candidate meet or exceed the TIU and College criteria applicable to the nomination.

6.1.1 - Promotion to Associate Professor with Tenure

All regular tenure track faculty must
• be engaged in teaching, the development of the TIU and College academic program, and the mentoring of students
• develop a record of scholarship
• contribute to service and thereby demonstrate a commitment to citizenship and collegiality

The awarding of tenure and promotion to the rank of associate professor must be based upon clear and convincing evidence that the candidate (a) has provided high quality teaching, scholarship, and service relevant to the mission of the candidate's TIU, according to the criteria below and those criteria and metrics in the TIU APT document, and (b) can be expected to continue to do so [ref. Faculty Rule 3335-6-02(C)].

6.1.1.1 – Teaching Criteria

Candidates are expected to have:

• Provided up to date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge.
• Demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm.
• Demonstrated appropriate use of various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment.
• Engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process.
• Provided appropriate and timely feedback to students throughout the instructional process.
• Treated students with respect and courtesy.
• Improved curriculum through revision or new development of courses and/or academic programs.
• 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.
• Assisted graduate students in the production of high quality published work.
• Engaged in documentable efforts to improve teaching.

6.1.1.2 – Scholarship Criteria

Candidates are expected to have:

• Published a body of work in high quality peer reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. While collaborative work is encouraged, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.

• A demonstrated ability to obtain and potential to sustain external funding for their scholarly activities.

• A developing national/international reputation in the candidate's field.
6.1.1.3 - Service Criteria

Candidates are expected to have:

- Made useful contributions to the governance of the department in a collegial manner that facilitates positive contributions by others.
- Made useful contributions to the profession.

6.1.2 - Promotion to Professor

The awarding of promotion to the rank of professor must be based upon clear and convincing evidence that the candidate has demonstrated [ref: Faculty Rule 3335-6-02(C)]: a sustained record of excellence as a teacher, a sustained record of excellence as a scholar with national or international recognition, and effective leadership in service. The specific criteria in teaching, scholarship, and service for promotion to Professor are similar to those for promotion to Associate Professor with Tenure, with the added expectation of sustained accomplishment and increasing quality of contributions, a record of continuing professional growth, and evidence of established national and international reputation in the field.

6.1.3 – Promotion of Regular Clinical Track Faculty

All regular clinical track faculty must

- be engaged in teaching, the development of the TIU and College academic program, and the mentoring of students.
- contribute to the scholarly mission of the TIU, College, and University
- contribute to service and thereby demonstrate a commitment to citizenship and collegiality

The teaching activities of regular clinical track faculty must be consistent with the rationale for having regular clinical track faculty in the College; these consist of courses that involve the practice of engineering. The scholarly emphasis of clinical track faculty is expected to be different from that of tenure track and research track faculty; clinical track faculty would be more engaged in activities dealing with the state of the practice of engineering, while tenure track and research track faculty would be more engaged in activities that advance the state of the art and science 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 track faculty would be expected to emphasize interaction with industry rather than with a research community. Examples of evidence of contributions in each of these areas are contained in Section 6.1.

6.1.3.1 – Promotion to Associate Professor of Practice

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

- demonstrated record of recognition at a national or international level
- accomplishment in the area of teaching
- contribution to the scholarly mission of the TIU, College, and University
- promise of continued professional growth

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Subject to the different emphases for clinical track faculty in teaching, scholarship and service described earlier in Section 6.1.3, the criteria for promotion are similar to those outlined in Section 6.1.1.

6.1.3.2 – Promotion to Professor of Practice

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

- demonstrated impact and clear stature within the national and international community
- sustained accomplishment in the area of teaching
- continued contribution to the scholarly mission of the TIU, College, and University.

Subject to the different emphases for clinical track faculty in teaching, scholarship and service described earlier in Section 6.1.3, the criteria for promotion are similar to those outlined in Section 6.1.2.

6.1.4 – Promotion of Regular Research Track Faculty

All regular research track faculty must

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

Classroom teaching is not required of research track faculty [ref: Faculty Rule 3335-7-32]. However, research track faculty members are expected to be engaged in those teaching activities described in Section 6.1 that develop the research capabilities of graduate students. The preponderance of the effort of research track faculty is expected to be devoted to scholarship activities as described in Section 6.1. Professional service activities such as described in Section 6.1 are expected of research track faculty, while administrative service activities would be expected to focus on tasks consistent with the person’s scholarly expertise.

6.1.4.1 – Promotion to Research Associate Professor

Subject to the different emphases for research track faculty in teaching, scholarship and service described earlier in Section 6.1.4, the criteria for promotion are similar to those outlined in Section 6.1.1.

6.1.4.2 – Promotion to Research Professor

Subject to the different emphases for research track faculty in teaching, scholarship and service described earlier in Section 6.1.4, the criteria for promotion are similar to those outlined in Section 6.1.2.

6.1.5 - Flexibility in the Application of Criteria

In evaluating a candidate’s qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where required, heavier commitments and responsibilities in one criterion area against lighter commitments and responsibilities in another. As the College enters new fields of endeavor, including interdisciplinary involvement, and places
new emphases on its continuing activities, instances will arise in which the proper work of a faculty member may depart from established academic patterns [ref: Faculty Rule 3335-6-02(D)].

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

6.2 - Procedures

Annually, the Office of Academic Affairs establishes the specific guidelines, procedures, and schedule for the review of promotion and tenure candidates who will be forwarded by TIUs to the Dean. Annually, the Dean will establish the latest date for the receipt, by Engineering Administration, of dossiers from TIUs on candidates for promotion and/or tenure.

The TIU P&T Committee is responsible for ensuring that candidates provide complete dossiers. The department chair or school director of the TIU is expected to:

a. Provide objective assessment of candidates’ progress, independent of the TIU’s P&T Committee and with no predictions concerning promotion/tenure.

b. Ensure that the TIU P&T Committee explains and addresses dissenting votes in their report on the candidate, as well as summarizing and addressing all TIU eligible faculty comments.

c. Transmit the completed dossier to Engineering Administration.

Upon the receipt of a dossier from a TIU on a candidate for promotion and/or tenure, the Dean will submit the dossier to the College Promotion and Tenure Committee for review. In considering a TIU’s recommendation for promotion and tenure, or for promotion, the College Promotion and Tenure Committee shall assess the process used to evaluate candidates based upon the College APT document and the TIU APT document, which must meet or exceed the minimum requirements of the College APT document. The Committee will review the dossier, consistent with the Committee purposes described in the College’s Pattern of Administration, and recommend to the Dean a promotion and/or tenure action based upon the process used to evaluate qualifications and performance of the candidate and considering comparable achievements in the candidate’s discipline. Committee recommendations shall be in writing to the Dean and report the vote of the Committee on the particular matter deliberated by the Committee.

The Dean will consider the recommendations of the Committee. If the Dean decides to deny promotion of a candidate on the regular clinical track or the regular research track, that decision is final [ref: Faculty Rules 3335-7-08 and 3335-7-36]. In all other cases, the Dean will recommend in writing, to the Senior Vice President for Academic Affairs and Provost, the promotion and/or tenure action to be taken.
6.3 – Documentation

Documentation of teaching, scholarship, and service shall be in accordance with the required dossier format expected by OAA. In addition to the metrics already mentioned in Section 6, particular attention should be paid to the following:

a. Identify student co-authors of publications as advisees of the candidate or others.
b. Identify candidate’s dollar share of joint research awards.
c. Provide any additional information that helps determine the primary or secondary role the candidate played on joint proposal awards, especially if such awards are the candidate’s only peer-reviewed funding.
d. Include complete archival reference information for all publications.
e. Include submitted/pending proposals.

7 – Appeals

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

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

8 - Seventh Year Reviews

Faculty Rule 3335-6-05(B) sets forth the conditions of and procedures for a seventh year review for a faculty member denied tenure as a result of a sixth year (mandatory tenure) review. It is the expectation of the College that if a faculty seventh year review is conducted by a TIU and the College, it will be made consistent with that TIU APT document, the College APT document, and other relevant policies, procedures, practices, and standards established by: (1) the College, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

The College of Engineering Appointments, Promotion and Tenure Document dated April 17, 2006 is approved:

[Signature]

William A. Baeslack III, Dean
College of Engineering

Date: 5/21/06