

STANDING RULES

Academic Rank Promotion and Tenure Committee

Graduate School of Engineering and Management

Air Force Institute of Technology

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1. Introduction

a. General: The strength of the Graduate School of Engineering and Management (*the School*) of the Air Force Institute of Technology (*the Institute*) resides in its faculty and its graduates: the development of a strong faculty is essential to realization of the Institute's goals. The development of a faculty is accomplished through critical consideration of initial appointment, tenure and promotion, and by providing a working environment that is favorable to professional growth. Institutional goals and purposes are realized primarily through the collective efforts of the faculty. The promotion and tenure policy of the School is one instrument for building and maintaining a faculty of the highest possible quality.

b. Purpose: These Standing Rules establish policy and procedures for determining academic appointment, promotion and tenure for faculty members within the Graduate School of Engineering and Management.

c. Authority: The academic rank system for the Institute is authorized by Title 10, United States Code, Section 9314; Air Force Instruction 36-804, Civilian Faculty Pay Plan for Air University and the USAF Academy; and AFI 36-804/Air University Supplement 1, Air University Civilian Faculty Pay Plan Procedures. Faculty reappointment, promotion and tenure criteria and general procedures are contained in the Air Force instruction and the Air University supplement. Internal AFIT procedures for operation under this instruction are specified in AFITI 36-111 and in these Standing Rules of the AFIT Academic Rank Promotion and Tenure Committee. The Academic Rank Promotion and Tenure Committee of the Graduate School of Engineering and Management (*the School Committee*) shall administer the process of recommending to the Chancellor, through advice to the Dean, the appointment, promotion and granting of tenure to faculty members. It is to serve as decision-making body acting on behalf of the faculty.

d. Approval: The Faculty Council of the Graduate School of Engineering and Management (*the Faculty Council*) initially approved these standing rules effective 9 November 2006. The faculty retains the authority to change the role, responsibility, or composition of the School Committee by a majority vote of the Faculty Council.

2. Faculty Attributes

a. Introduction: Teaching, research, and service encompass the primary activities of the faculty of the Graduate School of Engineering and Management of the Air Force Institute of Technology. This section seeks to elaborate upon these specific core areas of performance. Members of the graduate faculty are expected to be excellent teachers, advisors, and mentors. They are creative and productive scholars within their chosen fields of expertise and wholly dedicated to the discovery and dissemination of new knowledge. Moreover, a member of the graduate faculty has a global view, belonging to a community of researchers within his or her discipline and to the larger community of academicians. As such, he or she seeks out collaborations with other scholars to solve significant problems and to serve society at large. Finally, the graduate faculty member serves the Institute, his or her department, and the discipline at large. Additionally, he or she contributes to the overall mission of the U.S. Air Force and Department of Defense.

b. Teaching: Teaching is defined as any activity undertaken by a faculty member within the formal academic degree programs of the Institute. Teaching contributes to the efforts of students to acquire intellectual skills, to extend knowledge and understanding, or to develop attitudes and habits that foster continuing growth. The diversity of teaching activities include classroom lectures, laboratory and project course supervision and teaching, program and course development, development of pedagogical materials, supervision of doctoral and master's students, and related activities outside the classroom. Excellence in teaching draws continuously upon the teacher's ability as a scholar in the discipline.

c. Research: Research is defined as inquiry undertaken to establish facts, develop principles, or illuminate or answer questions within an area of intellectual pursuit through the systematic collection of evidence that can be subjected to replication, verification, or critical evaluation by persons other than the original researcher. Research activity is expected to result in peer-reviewed journal publications, invited or reviewed conference presentations and proceedings, research grants, review papers, monographs, and seminar and colloquium presentations.

d. Service: Service is defined as contributions and activities that promote the general welfare of the Institute, the academic discipline, the Department of Defense, and society at large. Graduate faculty members serve internally through various departmental, School and Institute committees. They are active in School governance, assume administrative duties within the Department, and mentor junior faculty members. Service includes displaying a collegial spirit of cooperation and contribution to the affairs of the Department, the School, and the Institute. Furthermore, they serve their respective disciplines by refereeing journal articles, conference papers and grant proposals, organizing professional conferences or sessions, as members of editorial boards, as officers of professional societies, and as members of national and/or international review boards and committees. Additionally, he or she contributes to the overall mission of the

U.S. Air Force and Department of Defense by providing expert consultation, serving on advisory boards, and facilitating technology transfer.

3. Academic Titles

a. Tenured and Tenure-Track Academic Ranks: Tenured and tenure-track faculty of the Graduate School of Engineering and Management are appointed to one of four academic ranks: Professor, Associate Professor, Assistant Professor, or Instructor. All appointments include an area of specialization. For example: Professor of Electrical Engineering. The area of specialization must be established at the time of appointment. A description of the qualities expected for each title is provided below.

(1) Professor: Those appointed or promoted to this rank, which is one of the highest honors that the Institute can bestow, are teacher-scholars of genuinely national standing who have made recognized contributions to the academic discipline and to the Institute. They are expected to have demonstrated excellence in teaching, to have performed recognized and outstanding research in their fields of specialization, and to have been pre-eminent in professional service. A Professor is a senior faculty member who has established himself or herself both as a leader in the chosen discipline and is recognized for his or her contributions to the Air Force and Department of Defense. The Professor will have established a sustained, productive, and widely recognized research program that involves the education of graduate students. A Professor will also mentor less senior faculty. The rank of Professor is usually attained by promotion from Associate Professor after a positive evaluation of performance and promise.

(2) Associate Professor: Those appointed or promoted to the rank of Associate Professor have demonstrated significant achievement in teaching, research, and service, and established an expectation of continued success in these three core areas. An Associate Professor has demonstrated excellence in the instruction of courses within their department, as well as successful mentorship and guidance of graduate students. The Associate Professor has established an independent area of research with important contributions to his or her discipline. An Associate Professor will have begun to serve his or her department, the School, and the discipline. The rank of Associate Professor is usually attained by promotion from Assistant Professor and granted in conjunction with academic tenure after a positive evaluation of performance and promise.

(3) Assistant Professor: An Assistant Professor has an earned doctorate degree or equivalent in a relevant field of study with definite promise of growth and development in teaching, research, and service. Most new faculty members are initially appointed as an Assistant Professor and are considered for promotion to Associate Professor with tenure after a mandatory probationary period (see paragraph 5.e (1)).

(4) Instructor: Appointments at the rank of Instructor should normally only be made when the offered appointment is that of Assistant Professor but the appointee has

not completed the requirement of an earned doctorate degree at the onset of the appointment. Normally appointments at the rank of Instructor will not exceed one year.

b. Non-Tenure-Track Titles: A non-tenure-track appointment may include one of the following qualifiers: Adjunct, Emeritus, Visiting, or Research. A description of the qualities expected for each title is provided below.

(1) Adjunct Faculty: The adjunct qualifier may apply to Instructor, Assistant Professor, Associate Professor, or Professor. An adjunct faculty has primary duties outside of the Institute, but contributes part-time to academic programs. Adjunct appointments may not exceed three years in duration. Only those individuals actively involved in teaching and/or in the advising of student research should be appointed as adjunct faculty. Adjunct faculty will work closely with regular faculty in the Department on instructional and/or research activities. These positions are not salaried.

(2) Emeritus Faculty: The School Committee may recommend that a retiring faculty member be awarded emeritus designation provided that he or she has tenure and has completed at least fifteen years of service to the Institute in faculty rank. This honor is reserved for those who have excelled throughout their careers as teachers and scholars. This is an honorary title consisting of the highest academic rank held followed by the word “Emeritus.”

(3) Visiting Faculty: The Institute recognizes a part-time or full-time visiting faculty member from another institution. The visiting qualifier applies to the faculty ranks of Assistant Professor, Associate Professor, or Professor. This title is normally assigned to individuals who hold or have held professorial rank at another institution of higher education or have accomplishments in government, industry, or other organization that are considered equivalent. The appointment should be made at the same rank as held at the permanent institution. Such appointments normally shall not exceed one year; however, the School may extend the appointment.

(4) Research Faculty: Research faculty are qualified to engage in, be responsible for, or oversee a significant area of research or scholarship. Research faculty may teach courses. They may also serve as principal or co-principal investigators on grants or contracts administered by the Institute. Research faculty may chair or serve on graduate student committees, subject to written approval of the Department Head. Research faculty members are supported by research grants or contracts and are not guaranteed space, facilities, or services beyond those specified in the grant or contract. Generally, Research Assistant Professors, Research Associate Professors and Research Professors may be appointed on one-year or multiple-year terms of up to three years, provided they possess the experience, expertise, or qualifications, established over a sustained period of time, that qualify them to advance the Institute’s research mission.

c. Administrative Titles: Administrative titles, such as Department Head, Center Director, Director, Dean, Registrar, Senior Military Professor, Vice Chancellor, and Chancellor neither confer nor preclude academic rank.

d. Letters of Appointment All academic appointments originate by request from an academic department. Such appointments require recommendation from the School Committee and action by the School Dean. All appointments at the level of Associate or higher require recommendation from the School Committee prior to hiring. In all cases (initial appointment, reappointment, promotion and tenure), the Dean shall issue a letter of appointment indicating the full academic title, the effective appointment date, whether the appointment is terminal (with an end date), renewable (for a given period), or tenure track (with a specified mandatory tenure year), and any special arrangements. Letters of appointment should be delivered prior to the appointment date for both military and civilian faculty members. Letters are drafted by the academic department, reviewed by the School Committee and signed by the Dean. If a department fails to deliver a Letter of Appointment prior to the faculty member's arrival, the effective appointment date will coincide with the commencement of faculty duties. All letters of appointment shall be distributed to the candidate, the Department Head, the Secretary of the Faculty Council, and the School Committee. A sample Letter of Appointment is included at Appendix A.

4. The Academic Promotion and Tenure Process

a. Organization: The academic promotion and tenure process is a joint activity between the School faculty and administration. The candidate's academic department is responsible for initiation of any action, involving both the department head and department promotion and tenure committee (*the Department Committee*). A request for promotion and tenure actions is documented in a candidate's package, evaluated by the Department Committee, and forwarded with the recommendations of the Department Committee and the Department Head to the Academic Rank Promotion and Tenure Committee of the Graduate School of Engineering and Management (*the School Committee*) for review and evaluation. The School Committee recommends approval or disapproval of the requested action and submits its recommendation and the Candidate's package through the Dean to the Institute Chancellor. Responsibility for faculty appointment, award of tenure, and academic promotion, is vested in the Air University Commander and should be delegated to the Institute Chancellor.

b. Responsibility to the Faculty: The School Committee is a standing committee of the Faculty Council. The School Committee makes recommendations to the Chancellor, through advice to the Dean. The Faculty Council:

- (1) elects the Chair of the School Committee, and
- (2) approves the Standing Rules which specify both the policies and procedures for operation of the School Committee, and the criteria for promotion and tenure.

c. School Committee:

(1) Purpose: The School Committee acts as the final faculty forum for the evaluation of the candidate's package and monitors the reviews and processes conducted by the Department Committees. The School Committee represents the faculty in discussions with the Institute's administration, develops and recommends revisions to the School's promotion and tenure processes, and recommends approval or disapproval of all requested actions to the Chancellor through advice to the School Dean. The School Committee:

(i) determines whether the department has conducted its review and reached a recommendation consistent with these Standing Rules (also see paragraph 9).

(ii) may make a recommendation that is contrary to that of the Department if, in its judgment, the Department recommendation is not consistent with these Standing Rules, and

(iii) determines where the weight of the evidence lies in cases in which there is not a clear or consistent set of recommendations from the departmental review.

(2) Advocacy: It is essential for the members of the School Committee to rise above parochial departmental concerns and to make decisions that are in the best interest of the School. Members of the School Committee shall not act as advocates for any candidate. It is the choice of the candidate whether to have an advocate. The candidate may request a representative through the department P&T committee to advocate to the EN P&T Committee. Selection of the advocate is the responsibility of the candidate. The advocate must be either a Department Head or a member of a Department P&T Committee.

(3) Membership: The School Committee shall be composed of six faculty representatives who possess tenured appointments as (Full) Professors, serving in staggered three years terms. Department Heads shall not be eligible to serve on the School Committee. All terms begin on 1 October immediately following the elections. Members of the School Committee shall be elected by the faculty according to the following procedures:

(i) Election: The School Committee shall be composed of one member from each of the six academic departments elected by the Department. Members will serve three year terms, with two new members elected in August of each year. The members from ENC and ENG shall be elected in year group 1, ENP and ENS in year group 2 and from ENV and ENY in year group 3, with year group 1 beginning in 2006. All appointed faculty within the academic department shall have a vote in electing their representative. Any department lacking a qualified member from within their department may elect a qualified member from another department to the School Committee.

(ii) Chair: The chair of the School Committee shall be elected from the membership of the School Committee by majority vote of the Faculty Council in September of each year. The chair may serve consecutive years. The Faculty Council President shall appoint a committee to ensure that at least two candidates for Chair of the School Committee are nominated from the current School Committee members, including the newly elected members.

(iii) Consecutive Terms: There shall be no consecutive terms for any members of the School Committee. Any member elected to fill a term of less than three years (due to mid-term vacancy) may be elected to a second term.

(iv) Member Removal: If a Department Committee decides that the member of the School Committee elected by their department is not representing the interests of the School properly, it may also replace that representative (for the rest of that representative's term) through a re-election process at any time. Replacement of a School Committee member shall not result in altering of votes previously taken.

(4) Process: Except for decisions requiring only the action of the Chair of the School Committee (see paragraph below 4.e (8)), the School Committee shall vote to recommend approval or disapproval of all properly documented requests from all academic departments. Each member of the School Committee, including the Chair and member from the candidate's academic department, participate in all votes. A positive recommendation requires 4 affirmative votes from the 6 members. All voting shall be conducted by secret ballot. The vote tally, all recommendations, and candidate packages will be forwarded to the School Dean for review and the Chancellor for action. The School Committee shall request a meeting with the School Dean following deliberations to discuss all recommendations.

d. Department Committees:

(1) Purpose: The Department Committee holds the primary responsibility for both evaluating candidate performance and ensuring proper candidate mentoring. Indeed, the Department Committee, in conjunction with the external review, provides the most in-depth evaluation of the candidate's achievements in teaching, research, and service.

(2) Membership: Each academic department shall form a departmental promotion and tenure committee consisting of all tenured Associate Professors and (Full) Professors within the department, excluding the Department Head. The Department Committee may invite the Department Head to attend the committee deliberations, without vote. Voting within the Department Committee is limited to tenured faculty with ranks at or above the requested action. There must be at least four voting-eligible members to make a recommendation on an action. If the department has less than four voting-eligible members for particular actions, it must elect enough voting-eligible members from other department(s) to their committee to satisfy the minimum membership to vote on those actions. All faculty members within the Department shall vote to elect a Chair of the

Department Committee. The Chair of the Department Committee may or may not be a member of the School Committee.

(3) Process: The Department Committee shall vote (by secret ballot) to recommend approval or disapproval of all properly documented requests. A positive recommendation requires an affirmative vote by a minimum of 2/3 of all voting-eligible members. The number of eligible members, the number of affirmative votes, and the candidate's package (see paragraph 6) are forwarded to the School Committee.

e. Process and Timelines:

(1) This subparagraph describes procedures followed for tenure track Assistant and Associate Professors who are requesting promotion and/or tenure.

(a) Candidate prepares vita after consultation with the Department Head and the Department Committee within two weeks of the start of the Promotion and Tenure cycle. The P&T cycle begins at the start of the fall term of each year. The vitae for all candidates shall be made available for inspection by all members of the faculty during the Department and School review periods.

(b) No later than three weeks after the start of the Promotion and Tenure Cycle:

(i) Candidate, Department Committee, and the Department Head each recommend external reviewers,

(ii) Department Committee selects four external reviewers,

(iii) Department Head prepares and sends the letter of commission to the reviewers (for samples of typical letters see Appendices D and E).

(c) Department Committee forwards the candidate's package, as defined in Paragraph 6, to the School Committee by 28 February of the following calendar year.

(d) School Committee reviews each candidate's package which includes the recommendations of both the Department Committee and Department Head, and of the four external reviewers.

(e) School Committee forwards candidate's package and their recommendation to the Dean by 1 April.

(f) Dean forwards candidate's package, the School's recommendation, and his or her recommendation to the Chancellor.

(g) Chancellor approves or disapproves package with authority delegated from the Air University Commander.

(h) School Committee announces positive results in accordance with paragraph 4.k. and records final actions.

(i) A recommended timeline is provided in Appendix F.

(2) This subparagraph describes procedures for decisions requiring only the action of the Chair of the School Committee. Such actions include all appointments at or below the Assistant level and reappointments at the same rank.

(a) Department Committee verifies the status of the degree, prepares nomination, and includes candidate's vita.

(b) Department Head forwards nomination and his or her recommendation to the School Committee.

(c) School Committee Chair reviews and acts for the faculty.

(d) Dean approves or disapproves the action.

(e) School Committee announces positive results in accordance with paragraph 4.k. and records final actions.

(3) This subparagraph describes procedures for all decisions requiring action by the School Committee outside of the normal Promotion and Tenure cycle described in paragraph 4.e.(1). These actions include initial tenure track appointment above the rank of Assistant Professor and non-tenure track (adjunct, research) initial appointments and promotions above Assistant Professor. (Also see paragraphs 5.g, 5.h and 5.i.)

(a) Department Committee verifies the status of the degree, prepares nomination, includes candidate's vita and a department committee evaluation letter. For candidates requesting tenure, external evaluation letters in accordance with paragraph 7 are required unless tenure was awarded previously at an academic institution.

(b) Department Head forwards nomination including an evaluation letter and his or her recommendation to the School Committee.

(c) School Committee reviews and recommends to the Dean.

(d) School Committee announces positive results in accordance with paragraph 4.k. and records final actions.

(4) This subparagraph describes procedures to change a discipline in an academic title.

- (1) Candidate prepares request for change.
- (2) Department Committee and Department Head recommends.
- (3) Dean approves.
- (4) School Committee announces and records final action.

f. Confidentiality and Open Deliberation: The vitae for all candidates shall be made available for inspection by all members of the faculty during the Department and School review periods. However, the Department Head evaluation letter, the Department Committee evaluation letter, the School committee evaluation letter, and external reviews shall be confidential. The Department Head letter and the Department and School Committee letters of evaluation will be distributed only to the candidate, Department and School Committees, and all necessary administrators. External letters of evaluation for faculty are solicited on a confidential basis. The identities of the reviewers are not to be shared with the candidate.

g. Candidate's Right to Due Process: If any candidate believes that he or she has not received fair treatment in the process, the candidate may ask that a Review Committee be convened (see below) only after the School Committee has made its initial decision and informed the candidate as required in Para. 4.h. Additionally, the Chair of the Department Committee or the Department Head may request a review on behalf of a candidate. The written and signed request for review shall be sent to the Faculty Council President within (3) duty days of notification of the initial decision. The request for review shall provide a statement of specific procedural error or a claim of inadequate consideration.

The Review Committee will be formed in the event of a request for a review. The Faculty Council President will create a Review Committee consisting of five tenured (Full) Professors selected at random from outside the candidate's department and who currently are not serving on the School Committee. Within three (3) duty days of receiving the request, the Review Committee shall convene and elect a Chair. The Review Committee Chair shall notify the Chair of the Department Committee, the Department Head, and the School Committee Chair that a review is in progress and provide the Chair of the Department Committee, the Department Head, and the School Committee Chair with copies of the letter requesting review and supporting documentation. Within seven calendar days after receiving the request, the Chair of the Review Committee shall convene a meeting and the Review Committee shall deliberate as it chooses. The candidate shall be notified of the meeting and shall be invited to attend to answer whatever questions might arise concerning the review.

The Review Committee is limited to determining if there was a procedural error or inadequate consideration in the process of tenure or promotion. The Review Committee will evaluate the merits of the candidate's request and submit a report of their findings to the School Committee Chair with copies to the candidate, the Department Committee

Chair and Department Head within ten (10) duty days from the formation of the Review Committee. The Review Committee report will become part of the candidate's package, which will then be reconsidered by the School Committee in making their final recommendation. The candidate's package (including the School Committee's initial decision, the Review Committee report, and the School Committee's final recommendation) will be forwarded to the Dean.

h. Candidate's Right to Rebuttal: If a candidate wishes to respond to any recommendation rendered by the Department Committee, Department Head, or School Committee, that candidate may add a letter to his or her package detailing any additional information at each stage of the process. A copy of the evaluation letters from the Department Head, the Department Committee, and the School Committee will be delivered to the candidate within two (2) duty days of signature.

i. Candidate's Right to Withdrawal: At each stage of the process, the candidate will be notified of the recommendations of the Department Committee, the Department Head, and the School Committee.

(1) A candidate under consideration for promotion to the academic rank of Professor may withdraw his or her package at any stage of the process. Committee actions on withdrawn packages will simply be noted as "withdrawn prior to evaluation and vote."

(2) A candidate under consideration for academic tenure or tenure and promotion may withdraw his or her package without repercussions only if it was submitted for consideration before the mandatory tenure year. Withdrawal during the mandatory tenure year is equivalent to formally being denied tenure.

j. Documentation: The Chairs of the Department and School Committees shall record all votes, recommendations, and actions in the Committee ledgers.

k. Announcement of Successful Actions: The School Committee shall announce all successful actions of the previous cycle in a report to the Faculty Council by the end of the Fall Quarter. In addition, the candidate's Summary of Accomplishments will be made available to the faculty. A sample Summary of Accomplishments is provided as Appendix B.

5. Tenure and Promotion Criteria

a. Introduction: The Air Force Institute of Technology is committed to the attainment of national and international distinction in teaching, scholarship and service to the United States Air Force, the United States Department of Defense and to society at large. The Graduate School's Faculty Council is responsible for establishing criteria for appointment, reappointment, and promotion and tenure that are consistent with this

mission and for ensuring that every faculty appointment, reappointment, and promotion and tenure recommendation is consistent with this mission.

Critical to appointment, reappointment, and promotion and tenure decisions is peer evaluation. Peers (both internal and external) are those faculty members who can be expected to be most knowledgeable regarding an individual's qualifications in teaching, scholarship, and service. Normally the *internal* peers of the candidate will be the candidate's departmental colleagues. Section 7 of the Standing Rules discusses *external* peers. Because of the importance of peer review to promotion and tenure processes, the faculty responsible for providing peer review are obligated to participate fully and knowledgeably in the process and to exercise standards set forth by the Department, the School, and the discipline, and to make negative recommendations when warranted to maintain and improve the overall quality of the School's faculty. Recommendations by the faculty vested with the responsibility for providing peer review will be accepted unless they are not supported by the evidence presented regarding how the candidate excels in teaching, scholarship, and service. In all cases superior intellectual attainment, in accordance with the criteria set forth in these Standing Rules, is an essential qualification for promotion to tenured positions. Insistence upon this standard for continuing members of the faculty is necessary for maintaining and enhancing the quality of the Institute, which is committed to the discovery, dissemination, and application of knowledge for the benefit of the Air Force, the Department of Defense, and society at large.

The performance metrics discussed below in Section 5.b. are intended to serve as guidelines to be used by peers during their evaluation of the candidate's teaching, research, and service. The examples of metrics offered in the section are not meant to be all-inclusive, nor are they intended to prescribe measures that must be considered in any particular case. It is understood that different disciplines will use different metrics, and that determination of teaching, research, and service quality is a subjective assessment, best conducted by the candidate's internal and external peers. Department- and discipline-specific guidelines will be prepared and disseminated as discussed in Section 8.d.

The Institute's Promotion and Tenure Criteria are intended to be consistent with the standards addressed by the American Association of University Professors in the Statement on Procedural Standards in the Renewal or Non-renewal of Faculty Appointments.⁵

b. Performance Metrics:

(1) Teaching: Teaching productivity is measured by the quality of classroom instruction, excellence in student advising and mentoring, and the sound pedagogical development of new courses of instruction. Teaching is an art, and effectiveness in the classroom depends on intangible attributes such as competence, character, personality, enthusiasm, and creativity. However, excellence in classroom instruction can be demonstrated through student commentary, teaching awards, testimony from the

Department Head and fellow departmental faculty, and various student competitions, awards, and other successes.

Evaluation of the candidate's performance as a teacher begins with an assessment from the Department Head. Further support is provided in the candidate's vita which documents the number of different courses taught in various specialties, the number of offerings of these courses, a description of significantly-revised or newly-developed courses, and any evidences of quality available to the candidate. The Department Committee should also address the quality of classroom instruction as known to these colleagues.

The assessment of a candidate's ability in advising and mentoring students consists primarily of documenting the successful completion of M.S. theses and Ph.D. dissertations and may also include the advising of graduate research or design projects. Active participation as a member of such research committees may also demonstrate important contributions to student mentoring.

A record of supporting student presentations at conferences, advising student sections of professional societies, participation in the educational and outreach activities of professional societies, obtaining grants for education activities, excellence in distance learning activities and short courses, and leading professional development activities are additional important evidences of a commitment to quality in teaching.

(2) Research: Research will be evaluated primarily by the quality of the faculty member's work that has been published or formally accepted for publication. Other important metrics include quantity and publication rate in refereed journals. Books, monographs, book chapters, and patents also indicate significant research contributions. The record of successful competition for funding is also an important metric, as it is one indication of relevance of the work to the Air Force, Department of Defense, and society at large. Participation in the academic community through conference presentations and proceedings is also an important evidence of research activity. In all cases, the candidate is expected to be a significant contributor to the creative endeavor.

Evaluation of the candidate's publication record begins with an assessment of quality and significance. Journals with a reputation as a premier forum for publication within a discipline are highly valued. Such journals have a rigorous review process, enjoy a larger audience, and often possess a strong citation record. The Journal Impact Factor (available from the Journal Citation Report (JCR) and Social Sciences Citation Index (SSCI), products of Thomson Institute for Scientific Information)⁴ is one measure of the relative influence of a journal within a discipline. A strong candidate will typically have a number of publications in leading journals within the discipline.

The assessment of the quality of the candidate's publications continues through an analysis of the individual papers by both the external reviewers and the Department Committee. As experts in the discipline, their assessment of the quality and impact of the

publications is essential. The citation record for each of the candidate's refereed publications is one important metric in this evaluation.

The candidate is expected to demonstrate a regular, sustained and continuing record of publication. Indeed, publication rates during and immediately preceding the faculty appointment is a key metric. The candidate's rate of publication should contribute favorably to the Schools statistics and compare well to academic peers within the discipline. Mentoring by members of the Department Committee is essential to conveying these standards.

The Department Committee will assess the nature of the candidate's contribution to each publication. An evaluation of the contributions from co-authors of all the candidate's publications includes establishing each author as belonging to one of several categories: students advised by the candidate, students advised by others, other non-faculty AFIT researchers within the candidate's group such as postdoctoral associates, research faculty and staff scientists or engineers, other collaborators within the School, and external collaborators. Significant research collaborations are certainly encouraged and valued. Publications resulting from the candidate's research as a student, prior to his or her doctoral degree, and prior to faculty appointment will also be identified.

Candidates appointed at the rank of Associate Professor or promoted to the rank of Associate Professor with tenure are expected to have demonstrated an ongoing significant publication record. Early in the junior faculty member's career, publications resulting from his or her dissertation research, during post-doctoral appointments, and in strong collaboration with senior faculty members may dominate the record. However, promotion with tenure or appointment to the rank of Associate Professor requires a demonstration that the candidate has established primary creative leadership during more recent research endeavors.

Candidates seeking appointment or promotion to the rank of (Full) Professor are expected to have developed an impressive publication record with significant prominence. Sustained publication rates throughout the academic career are the normal expectation. While periods of reduced productivity may be justified, the publication rate in the years preceding the promotion must be maintained. The successful candidate will have established himself or herself as a recognized expert within the discipline, and have established prominence within one or more specialty areas.

The candidate's record of research grant funding will include the title of grants received, the funding agency and agent, duration of the grant, total funding approved for all partners, funds received by AFIT, the candidate's share of the AFIT funds, funded collaborators and their organizations, collaborators within the School and an identification of AFIT's lead investigator. The competitive nature of such grants should also be addressed. Research collaborations without external funding will include the name and organization of the collaborator(s), the nature of the collaboration, products and results of the collaboration, and any estimates of cost savings. The expected quantity of external funding is highly variable and discipline specific. However, the successful

candidate will have established a sustained record of external funding as necessary to support students and equip facilities. Normally, the candidate for Associate Professor will have demonstrated the ability to support several graduate students per year. Often, the candidate for (Full) Professor will have demonstrated the ability to support doctoral students, postdoctoral associates, and/or research faculty.

Conference presentations and proceedings are natural elements of contributions to the community and offer important opportunities for interaction. In particular, the introduction of students to the broader community is strongly enhanced through conference activity. Invited lectures and conference presentations are another important indication of the candidate's reputation. The candidate's conference presentations and proceedings do not represent an alternative to refereed journal articles, but rather enhance and complete the record of research contributions. Conference papers with a rigorous review process are particularly valued and should be documented by the candidate and evaluated by the Department Committee.

Patents authored by the candidate may also represent significant research contributions.

Other intellectual contributions should be documented in the Candidate's Vita with sufficient detail to establish the merit and impact. Typical expectations within the discipline for these contributions should be addressed.

(3) Service: Service productivity is measured by the candidate's contributions internally to the Department, School, and Institute and externally to his or her academic discipline, to the U.S. Air Force and Department of Defense, and to society at large. The elements of internal service include participation in School governance, participation in School administration, academic advising, active membership in curriculum committees, special assignments, and volunteering in the social context of the Institute. The elements of external service include refereeing journal articles, conference papers and grant proposals, organizing professional conferences or sessions, membership of editorial boards, as officers of professional societies, and as members of national and/or international review boards and committees. Expert consultation, serving on advisory boards, and facilitating technology transfer within the Air Force and Department of Defense are also valued.

c. Criteria for Appointment as Instructor: A relevant master's degree, interest in and potential for teaching, research, consultation, and other scholarly and professional activities is required for appointment as an Instructor. Appointments at the rank of instructor should normally only be made when the offered appointment is that of Assistant Professor but the appointee has not completed the requirement of an earned doctorate degree at the onset of the appointment.

d. Criteria for Appointment as Assistant Professor: An earned doctorate degree or equivalent in a relevant field of study with definite promise of growth and development in teaching, scholarship, and effective service is required for an appointment as Assistant

Professor. The Chair of the School Committee may act on behalf of the full committee, with subsequent report, on initial appointment as Assistant Professor.

e. Promotion to Associate Professor with Tenure: Promotion from the rank of Assistant Professor to Associate Professor with academic tenure 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 department, to the Institute, and to the Air Force and Department of Defense. Military faculty who are required to proceed to a different military assignment prior to the promotion effective date are assumed to fulfill the requirement for continued service.

(1) Probationary period: A probationary period is established for all regular tenure-track faculty members. During a probationary period, a faculty member does not hold academic tenure and must be considered for reappointment during the third year of the appointment. An appointment to the rank of Assistant Professor is always probationary and may not exceed six years. The mandatory tenure year is the academic year in which faculty members must submit the tenure dossier to the Department Committee for evaluation of promotion to the academic rank of Associate Professor with tenure. There will only be a single P&T cycle each year which begins at the start of the fall term (roughly 1 October). Due to the varying start times of new faculty, the mandatory tenure year will be specified in the initial appointment letter to Assistant Professor. With the exception of credit for prior experience credit described in paragraph (6) below, this will be the first cycle that comes after the date which is 54 months after the initial appointment date. For example, an individual whose initial appointment date is between 1 April 2005 and 31 March 2006 has mandatory tenure year beginning fall quarter 2010.

(2) Notification of decision: The faculty member will be informed before the end of the sixth year as to whether promotion to the rank of Associate Professor and tenure will be granted at the beginning of the seventh year. For civilian faculty members, if promotion with tenure is not granted, a non-renewable, one-year term of employment shall be offered to the candidate as a contract employee of the Graduate School in accordance with normal federal employment regulations. In the event that the faculty member declines the offer of a one year contract, the faculty member's employment shall be terminated on the last day of sixth year of employment. Military faculty members who are denied tenure will complete their current military assignment.

(3) Early consideration: Exceptional faculty members may seek promotion to Associate Professor with tenure *no earlier than three years* before the mandatory tenure year. However, it is important to note that early promotion to Associate Professor with tenure will be considered only if the faculty member's record of achievement meets department standards in all categories including teaching, service and research and is comparable to successful packages submitted during the normal mandatory tenure year.

(4) Withdrawal from tenure review: Only the candidate may stop the review for promotion to Associate Professor and tenure once the formal request for consideration has been submitted to the Department Committee. The candidate may withdraw from review at any stage of the process by informing the Chair of the Department Committee in writing who will, in turn, inform the Department Head. If the review process has moved beyond the department-level evaluation, the Department Head shall inform the Chair of the School Committee who, in turn, shall inform the Dean of the candidate's withdrawal in writing. Withdrawal during the mandatory tenure year is equivalent to formally being denied tenure.

(5) Exclusion of time from probationary period: A probationary tenure-track faculty member may apply to exclude time from the probationary period in increments of one year because of care-giving responsibilities associated with the birth of a child or adoption of a child, personal illness, care of a seriously ill or injured person, an unpaid leave of absence, military deployment, or factors beyond the faculty member's control that hinder the performance of the usual range of duties associated with being a successful faculty member, i.e., teaching, scholarship, or service. Requests to exclude time from the probationary period made under the terms of this paragraph must be submitted to the Department Head, reviewed by the Department Committee, and approved by the Department Head and the Dean. A request to exclude time from the probationary period for any of the reasons noted above must be made prior to the beginning of the mandatory tenure year. The extent to which the event leading to the request was beyond the faculty member's control, the extent to which it interfered with the faculty member's ability to be productive and the faculty member's accomplishments up to the time of the request will be considered in the review of the request. Such requests will be approved unless they are prohibited by rules (i) or (ii) below and documented in a supplementary letter of appointment.

(i) A request to exclude time from the probationary period for any reason will not be granted after a non-renewal notice has been issued nor will previously approved requests to exclude time from the probationary period in any way limit the School's right not to renew a probationary appointment.

(ii) The maximum amount of time that can be excluded from the probationary period for any reason or combination of reasons is two years for Assistant Professors except in extraordinary circumstances. Exceptions require the approval of the Department Committee, Department Head and the Dean.

Per Paragraph 8.c, tenure-track faculty members will be reviewed annually during their probationary periods regardless of whether time is excluded from that period for any of the above reasons unless their absence from campus during an excluded period makes conduct of such a review impractical.

For purposes of performance reviews of probationary faculty, the length of the probationary period is the actual number of years of employment at the School less any years of service excluded from the probationary period under the terms of this rule.

Expectations for productivity during the probationary period cannot be increased as a consequence of exclusions of time granted under the terms of this rule.

(6) Prior experience credit: Service credit of up to three years may be granted for prior academic experience after the award of the Ph.D. at the time of the initial appointment and requires the approval of the Department Committee and the Department Head. Prior service credit shortens a probationary period by the amount of the credit and once granted cannot be revoked except through an approved request to exclude time from the probationary period. Prior service credit will not be granted for employment in any auxiliary title (such as adjunct, visiting, clinical, or lecturer), special title (such as graduate associate) or part-time position (less than fifty percent service). Any candidate receiving prior service credit must meet criteria expected for successful packages submitted during the normal mandatory tenure year.

(7) Criteria: The promotion to Associate Professor with tenure is based on demonstrated achievement in teaching, scholarship, and service, as well as an expectation of continued success at the Institute in these three core areas. Military faculty who are required to proceed to a different military assignment prior to the promotion effective date are assumed to fulfill the requirement for continued service. With regard to teaching, candidates should have demonstrated excellence in the instruction of courses within their department, as well as successful mentorship and guidance of graduate students. With regard to scholarship, the candidate for Associate Professor with tenure must have demonstrated the ability to conduct independent research which is of interest to his or her specific discipline. This will be indicated by means of scholarly publications in refereed journals and refereed conference proceedings, funded research projects, and through the reviews of internal and external peers. These basic guidelines should be applied with due regard for the total record of creative achievement offered by the individual. With regard to effective service, the candidate for Associate Professor must have demonstrated significant service to his or her discipline through activities including, but not limited to, participation in professional activities such as the chairing of sessions at national and international meetings, reviewing papers for refereed journals and conferences, being elected to editorial boards, and various appropriate consulting activities. The candidate should also have begun to demonstrate contributions to the Graduate School of Engineering and Management and to his or her department. This will usually take the form of participation in department-level activities, committee work, faculty governance, etc.

f. Promotion to Professor: The title of Professor is the highest level of academic rank and should recognize the attainment of authoritative knowledge and reputation in a recognized field of academics over a period of at least ten years of significant experience from the time the Ph.D. was obtained. Exceptions to this time span may occur but those are very infrequent and rare. The person should include in this total a minimum of six years of full-time university experience as a faculty member teaching and conducting research. The individual should have attained superior stature in his or her field through teaching, research, and service. The criteria for promotion from Associate Professor to Professor are:

(1) The person shall have demonstrated research achievement that is at a national level. The evaluation of research achievement shall consider evidence of sustained high-quality refereed publications, significant external research funding, and successful collaborative efforts with students, including theses and dissertations written under the direction of the faculty member.

(2) The (Full) Professor will have established a sustained, productive, and widely recognized research program that involves the education of graduate students. He or she will normally have established one or more in-depth research thrusts involving multiple graduate students and/or other researchers working within one of these thrusts over an extended period, and have successfully contributed to the solution of significant problems within the discipline. In many disciplines, this may involve advising doctoral students, postdoctoral associates, and/or research faculty.

(3) The person shall have maintained teaching excellence in courses at the graduate level.

(4) The person shall have demonstrated strong leadership in both internal and external service.

g. Initial Appointment as Associate Professor without Tenure: An initial appointment to the academic rank of Associate Professor must be based on convincing evidence that the individual has demonstrated excellence as a teacher, as a scholar, and as one who provides effective service as discussed in section 5.b. In addition, the candidate must have six years of significant professional experience after having earned the doctoral degree. These will normally include no fewer than three years of full-time university-level teaching at the Assistant Professor rank or higher. Alternatively, for those with fewer than three years of teaching experience, the requirement is six years of significant professional experience with research credentials normally expected of an experienced Associate Professor.

The guidelines and criteria for the award of tenure to individuals initially appointed as an Associate Professor without tenure are the same as those for an Assistant Professor seeking promotion to Associate Professor with tenure.

h. Initial Appointment as Professor without Tenure: An initial appointment to the academic 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 to the discipline. The candidate must have a minimum of ten years of significant professional experience after having earned the doctoral degree. These will normally include no fewer than six years of full-time university-level teaching with a minimum of three years at the Associate Professor rank or higher. Alternatively, for those with fewer than six years of teaching experience, the requirement is ten years of significant professional experience with research credentials normally expected of an experienced full Professor. Otherwise the qualifications for initial appointment to Professor are identical to those for promotion to this rank.

The guidelines and criteria for the award of tenure to individuals initially appointed as Professor without tenure are the same as those for an Associate Professor seeking promotion to Professor with tenure.

i. Initial Appointment as Associate Professor or Professor with Tenure: Although civil service rules require a one-year probationary period for newly hired faculty, this does not preclude the award of academic tenure. In general, academic tenure decisions will be deferred until a faculty member hired at the rank of Associate Professor or Professor has served on the faculty for one to three years. However, in certain cases, the hiring authority may desire that academic tenure be offered as part of the employment package. Typically, this will occur when hiring a senior professor or department head, though there may be very rare cases where an exceptional associate professor in a very competitive specialty area may initially be offered tenure. For an initial appointment at the rank of (Full) Professor with tenure, the candidate will have established teaching, research and service credentials normally expected of a tenured (Full) Professor. For initial appointment at the rank of Associate Professor with tenure, the candidate will have established teaching, research and service credentials equivalent to those normally expected of a tenured Associate Professor.

j. Continuing Term of Appointment for Administrative Positions: Instances may arise in which individuals are appointed to administrative, non-tenure-track positions (e.g., center directors). Upon appointment, rather than receiving an appointment letter that specifies a mandatory tenure year (per paragraph 3.e.), he or she will receive a letter that specifies when they will be considered for a continuing term of appointment. Typically, consideration for a continuing term of appointment will occur at the same time tenure consideration would occur if the appointment were tenure-track (e.g. at the six-year point). In addition, as with tenure track appointments, a mid-term evaluation will be conducted at the end of the three-year initial term appointment. Both the mid-term and continuing term of appointment evaluation are the responsibility of the Department Head or Dean, who may call on the Department Committee for assistance and advice as required. A continuing term of appointment does not confer tenure. It provides security of appointment without requiring further formal academic reappointment; it may be terminated for just cause or (upon proper notice) when satisfactory performance or programmatic need ceases. In the event that an individual in an administrative appointment without tenure leaves the post and obtains a tenure-track appointment, the probationary period will be negotiated upon conversion, although established minimum standards of teaching and research experience will be maintained.

k. Tenure and the Civil Service System: Most Federal Government civilian positions are part of the competitive civil service. However, AFIT faculty appointments are always excepted civil service appointments. More information can be found about the excepted service in section 2103 of title 5, United States Code (5 U.S.C. 2103) and parts 213 and 302 of title 5 of the Code of Federal Regulations. During the six-year academic probationary period, the employee is on a three-year term appointment, with a second three-year term appointment made after positive performance review. During the

academic probationary period, and while on a term appointment, the employee is assigned to the civil service tenure group 3. Civil service tenure and academic tenure are two different identifications. When the candidate is promoted to Associate Professor and granted academic tenure, the person is converted to a career conditional appointment within civil service, no longer on a term appointment, and assigned to civil service tenure group 2. In the first year of a term appointment or of a career conditional appointment, the employee may be excused without cause. After three years in the career conditional appointment, the employee is converted to career civil service status and civil service tenure group 1.

l. Adjunct, Visiting, and Research Faculty Appointments: The academic rank for adjunct appointments will be consistent with the standards for tenure-track faculty, including the provision for substituting exceptional research credentials for teaching experience. The appointments for visiting professors should be made at the same rank as held at the permanent institution. The academic rank for research faculty appointments must meet the same criteria for tenure-track appointments, except those involving teaching experience and service.

m. Military Faculty and Tenure

Academic tenure has well established and legally supported implications in the academic world. Among the benefits associated with tenure are increased academic privileges, increased roles in faculty governance and policy processes, and guarantee of continued employment barring unforeseen circumstances.

Both military and civilian faculty members in the Graduate School compete for academic promotion and tenure under the same guidelines as outlined in these Standing Rules. Military faculty members who successfully meet the requirements and are promoted to Associate Professor or Professor obtain all the rights and privileges as their tenured civilian faculty colleagues with one exception. Specifically, AFIT cannot guarantee continued or future assignment at AFIT and promotion to either of these academic ranks carries no guarantee of future civilian employment or tenure on the Graduate School faculty.

6. The Candidate's Package

a. Required Elements: A complete candidate package submitted to the School Committee shall include: (1) the candidate's vita, (2) the candidate's personal letter requesting the action, (3) a file of the candidate's publications, (4) a Department Committee evaluation, (5) the Department Head's letter of evaluation, (6) the Department Head's letter to the external reviewers, (7) four letters of external review, (8) a draft Letter of Appointment, and (9) a draft Summary of Accomplishments for the announcement of successful actions. Note: Items 1-9 shall be submitted electronically to the Chair of the School Committee. Hard copies of items 1-9, except item 3, shall also be forwarded to the Chair of the School Committee. At a minimum, the file of the candidate's publications shall consist of all peer-reviewed archival journal publications

listed in the candidate's CV. The candidate shall designate in their CV the two (Associate candidate) or four (Professor candidate) publications that best represent his/her most significant work and include them in the electronic file.

b. The Candidate's Vita: The candidate shall submit a curriculum vita addressing the elements described in the example document of section 12. The Department Committee shall review and validate the candidate's vita.

c. The Department Committee Evaluation: The Department Committee serves as the primary forum for evaluating the candidate's performance. The evaluation is documented in a letter of evaluation, signed by the chair of the Department Committee. The evaluation letter must document the rationale for approval or disapproval. The Department Committee is also responsible for preparing the draft Letter of Appointment and Summary of Accomplishments. The Department Committee is responsible for assembling the full candidate's package and delivery to the School Committee.

d. Department Head Letter of Evaluation: The Department Head will also prepare a letter of evaluation, including a recommendation to approve or disapprove the requested action and an analysis of the candidate's performance. The evaluation letter must document the rationale for approval or disapproval.

e. Standards for Reporting Data: The candidate is responsible for accurately reporting all data in the vita. Any discrepancies between AFIT data sources, such as the annual research report, the financial database for external grants, annual performance reviews, etc., as well as external data sources such as Science Citation Index and other publication databases must be addressed by the candidate. The candidate is cautioned against imprecise or exaggerated claims in the vita. The Department Committee is responsible for validating and clarifying the candidate's vita.

7. External Peer Review

a. Statement of Purpose: The primary purpose of external peer review is to provide an independent, objective assessment of the candidate's contributions in teaching, research, and service from individuals within the academic discipline (and specialty) of the candidate. External reviews also serve the purpose of maintaining and enhancing the relevance of the School's faculty within their respective academic disciplines. External peer review shall be done for all tenure requests except for initial appointments for individuals who have successfully undergone an external review for tenure at a former university. In addition, external peer review shall be done for promotion to Professor.

b. Selection of Reviewers: The candidate, Department Committee, and Department Head will each suggest three potential external reviewers. There are two types of qualified reviewers: *academic reviewers* and *non-academic reviewers* as defined in (1) and (2) below. The candidate, Department Committee, and Department Head may each include

at most one non-academic reviewer on their respective suggested list of reviewers. The Department Committee will ensure that at least one non-academic reviewer is included in the list of nine potential reviewers. The candidate will have an opportunity to comment on the list of nine potential reviewers. The candidate will not be informed of the selected reviewers. The candidate will have access to the reviewers' solicitation letters, but anonymity of the reviewers will be maintained.

(1) Academic Reviewers: An *academic reviewer* is one who possesses a relevant doctoral degree and is or has been a tenured, graduate faculty member at the rank of Associate Professor or Professor within an academic department with educational and research activities similar, or superior in stature, to those of the candidate's department. The academic reviewer should hold prominence within the candidate's particular area of specialty and will predominantly belong to a Ph.D.-granting department. Some programs within the Graduate School may not offer the Ph.D. In such cases, it may be appropriate to use academic reviewers in non-Ph.D.-granting programs at other institutions. The use of reviewers with relatively junior rank or unclear expertise is not appropriate and will generally weaken the candidate's case.

(2) Non-Academic Reviewers: A *non-academic reviewer* is an individual within an industrial, governmental, or Department of Defense agency who is able to specifically address the relevance and impact of the candidate's contributions to the missions of the U.S. Air Force and/or the Department of Defense.

(3) The required information for each potential reviewer includes: full name, full academic title, institution or organization, mailing address, email address, telephone number with area code, and fax number. A brief statement of the potential reviewer's credentials and familiarity with the candidate's scholarly activities should also be given.

(4) The list of reviewers will not include the candidate's coauthors, dissertation or thesis advisor, or formerly advised graduate students.

(5) The Department Committee shall choose four of the nine suggested names, three academic reviewers and one non-academic reviewer. The School Committee and the Dean shall have an opportunity to review and comment upon the choice of external reviewers prior to the Department Head mailing out the commission letters (see Appendices D-E for sample letters). At least one of the selected reviewers will be from the candidate's list.

(6) All four solicited letters must be included in the candidate's package. If a reviewer declines to conduct a review, the Department Committee Chair will document the reason for the declination and the Department Head will send out a commission letter to one of the remaining reviewers on the list. Unsolicited letters of evaluation, or letters of evaluation solicited by anyone other than the above authorized persons, will not be considered.

8. The Department Committee Review

a. Purpose: The Department Committee, in conjunction with the external review, provides the most in-depth evaluation of the candidate's scholarly activities.

b. Letter of Evaluation: The evaluation is documented in the committee's letter of evaluation. The letter must include a recommendation to approve or disapprove the requested action, a tally of the vote within the committee, and an analysis of the candidate's performance. The evaluation should include both a quantitative and qualitative analysis of the candidate in context of peer institutions and address all the metrics discussed in Section 5b. The external reviews will be available to the committee during this evaluation process.

c. Mentoring: All candidates will be assigned an official mentor at the time of initial appointment. The mentor will review the candidate's vita yearly, assist the candidate in identifying opportunities for professional opportunities, and coordinate with the Department Head in advising the candidate. The mentor is responsible for communicating performance expectations to the candidate and coordinating with the Department Committee on his or her behalf.

d. Written Guidance: Each year, before the beginning of a new promotion and tenure cycle, each Department Committee in conjunction with the Department Head, will provide written guidelines for promotion and tenure expectations for the next promotion and tenure cycle. Some departments may determine that program-specific guidelines are required. These documents will be forwarded to the School Committee for review and comment. The purpose of the review is to insure that department guidelines are clear, not unfairly disparate regarding criteria for promotion and tenure, and consistent with these standing rules. The guidelines shall be made available to the Dean and all faculty. These guidelines should not be interpreted as definitive criteria. Rather, they form the basis for candidate mentoring and communication within the School. The format and content of these guidelines are at the discretion of the Department Committee, but will provide sufficient metrics to enable the candidate to establish appropriate, individualized performance goals.

e. The Three-Year Tenure Review: At the beginning of the third probationary year, all Assistant Professors (military and civilian) will submit a vita and publication file for evaluation by the Department Committee and the Department Head. The vita will be prepared following the guidelines in Appendix C. The candidate's mentor will present the candidate's vita to the Department Committee. As part of the evaluation, the Department Committee may decide to solicit an external reviewer. Advice as to whether the candidate is "on-track" for promotion and tenure will be provided to the candidate by the Department Committee Chair and the Department Head. In cases where the candidate appears to be "off-track," remedial actions will be recommended. These may include, for example, more frequent mentoring, assignment of a different mentor, or annual tenure reviews. Based on their desire to remain on the faculty, military candidates who are judged to be on track for promotion and tenure will be recommended for

consecutive faculty assignments. Department Committees may choose an alternative schedule for the formal review of a candidate's progress toward tenure, but at least one review must be initiated by the beginning of the third year. Both the initiation and completion of the review will be reported to the School Committee.

9. The School Committee Review

a. Purpose: The School Committee's role is to ensure that evaluations conducted by the Department Committees are consistent with these standing rules and standards established by the faculty. The School Committee recommends approval or disapproval of all requested actions to the Chancellor through advice to the School Dean.

b. Letter of Evaluation: The School Committee will evaluate the candidate's package (as described in Section 6). Subsequent to the evaluation, the School Committee will prepare a letter, which will include a recommendation to approve or disapprove the requested action, a tally of the vote within the committee, and an analysis of the candidate's package, particularly noting whether the recommendations from the Department Head, Department Committee, and external evaluators are consistent, and if not, what rationale was used in developing the School Committee's recommendation.

10. References

The following references are suggested as background reading for candidates and committee members:

1. Advice to Rocket Scientists: A Career Survival Guide for Scientists and Engineers (Longuski, 2004, AIAA).
2. Research-Doctorate Programs in the United States: Continuity and Change (Goldberger, Maher, and Flattau (Eds.), 1995, National Academy Press).
3. Air Force Institute of Technology Research Report 2005 (AFIT/EN/TR-06-02 Technical Report, April 2006) (<http://www.afit.edu/en/enr/resreports.html>)
4. Thomson Scientific, 3501 Market Street, Philadelphia, PA 19104 USA (<http://www.isinet.com>)
5. Statement on Procedural Standards in the Renewal or Non-renewal of Faculty Appointments, American Association of University Professors, 1012 Fourteenth Street, NW, Suite #500; Washington, DC 20005 USA (<http://www.aaup.org/statements/Redbook/Rbrenew.html>)

11. Appendices

- A. Sample Document: Letter of Appointment
- B. Sample Document: Summary of Accomplishments
- C. Elements of the Candidate's Vita
- D. Sample Commission Letter to External Academic Reviewer
- E. Sample Commission Letter to External Non-Academic Reviewer

Appendix A: Sample Document: Letter of Appointment

December 15, 2006

Dear Dr Doe:

On behalf of the faculty and administration of the Air Force Institute of Technology, I want to congratulate you on your appointment as an Assistant Professor of Mechanical Engineering in the Department of Mechanical Engineering. I trust that AFIT will provide an environment that will enhance your professional academic growth.

Your official appointment date as an Assistant Professor is July 1, 2001. As a tenure-track faculty member, you are required to serve a three-year probationary period. If you are reappointed to the position at the end of the third year, you will be required to submit your tenure dossier in the mandatory tenure year which is approximately six years after your initial appointment date. In your case, the mandatory tenure year is the start of the fall term, 2006. (Please see the Tenure and Promotion Criteria, Section 5e part (1) of the Standing Rules.)

Again, please accept my most sincere congratulations on your appointment to the AFIT faculty. I look forward to working with you over the next few years.

Sincerely,

M. U. Thomas
Dean, Graduate School of Engineering
and Management

Appendix B: Sample Document: Summary of Accomplishments

Dr Jennifer C. Doe has been promoted to the rank of Associate Professor of Nuclear Engineering and awarded tenure in the Department of Engineering Physics, Air Force Institute of Technology effective 1 October 2006. She graduated from the University of Texas at Austin with a Ph.D. in nuclear engineering and is a licensed professional engineer and a certified health physicist. Prior to coming to the AFIT faculty in 1999, Dr Doe was an engineer at the U.S. Department of Energy Pantex Plant in Amarillo, Texas for three years. Professor Doe teaches graduate courses in space nuclear power, reactor design, nuclear physics, and nuclear weapons effects. Professor Doe's research interests include experimental and modeling studies in support of neutrino mass measurements, the design of methodologies and systems to counter the possible transport of clandestine nuclear materials, and applications in the biomedical and radiological sciences. She has successfully advised 8 master's theses and 1 doctoral dissertation. Dr Doe has published 12 refereed journal articles and 16 conference papers, including the highly cited Nuclear Physics B article on "Exact energy spectrum for models with equally spaced point potentials". Professor Doe has received three research grants totaling \$385,000, including support from the non-proliferation program at the Defense Threat Reduction Agency. Dr Doe is active member of the American Nuclear Society, serving as the technical program chair for the 2005 Advanced Nuclear Fuel Cycles and Systems conference. She is the recipient of the ANS Arthur Holly Compton Award in Education. (Jennifer.doe@afit.edu, 937-255-3636 x 0000).

Note: This sample is not intended to establish any quantitative metrics for promotion or tenure decisions.

Appendix C: Elements of the Candidate's Vita

A. Biographical Information:

1. Demographic: Name, current title, office address, email address, and telephone number.
2. Education: For graduate and undergraduate careers, give institutions, field(s) of concentration, dates, degrees, honors, fellowships, and scholarships. Non-degree study of relevance to academic duties and/or study towards not yet completed degree may also be noted.
3. Professional History: From award of baccalaureate degree to the present time, list position titles (academic and other), dates (include months and year) of appointment and promotion, and/or granting of academic tenure. A brief statement of responsibilities and accomplishments in each position is appropriate.
4. Licenses, Registrations, and/or Certifications: List relevant professional credentials, with dates.
5. Awards and Honors: List awards and honors not cited elsewhere in the vita.

B. Scholarly Activities:

1. Teaching:
 - (a) A statement indicating the nature and amount of teaching experience. This will include a list of courses taught with credit hours and enrollment in each.
 - (b) Course and curriculum development.
 - (c) Measures of teaching excellence including awards and evaluations.
 - (d) Publications intended primarily for use by students or by teachers in fulfilling instructional roles.
 - (e) A brief statement indicating number of theses and dissertations successfully advised and in-progress.
 - (f) Other significant teaching activities may be addressed.
2. Research:
 - (a) Research Grants: Provide a chronological list of grants received, including sponsor, period of performance, principal investigator, collaborators, supported students, total funds, funds received by AFIT, the share of AFIT funds controlled by the candidate, and brief summary of the project. Specify role on project.
 - (b) Publications: Provide a chronological list of items including books, chapters in books, journal papers, conference papers, invited conference papers, presentations, technical book reviews, etc. List refereed publications separately from those not

refereed. For papers with multiple authors, indicate clearly the order of authors and use superscripts to classify authors IAW the categories discussed in Section 5.b.(2). Submitted but not accepted publications should be listed separately. For consideration for promotion to Professor, designate the four publications that best represent your most significant work; designate two such publications for consideration for Tenure and promotion to Associate Professor.

(c) Patents: Provide a chronological list of patents. Describe the practicality and market acceptance of the patent.

(d) Other significant intellectual activities may be addressed.

3. Service: indicate membership, leadership role, nature of service and contribution.

(a) Institute (or comparable institution for initial appointees): Including service on faculty committees and councils, service to student organizations, and administrative service. Indicate dates of service and roles performed.

(b) Profession: Including academic and professional societies, conference organizing, editorships, and refereeing. Indicate the organization, location, responsibilities, and dates.

(c) Community service: Describe community service (defining the USAF and DoD as our primary, though not only, community) directly related to professional and scholarly activities. Provide a chronological summary of service activities, including consulting/advisory services performed, publications and presentations for lay audiences, and media interviews. State organizations supported, the magnitude, level and type of work, significance and impact, and any personal or institutional recognition.

Appendix D: Sample Commission Letter to External Academic Reviewer

The following letter is purely a sample and department dependent.

Professor John Doe
Department of <reviewer's department>
<reviewer's department>
City, State, Zip Code

October 15, 2006

Dear Dr. Doe:

The Department of <candidate's department> at the Air Force Institute of Technology is considering Assistant Professor <candidate's name> for promotion to the rank of Associate Professor with tenure. External evaluations play an important role in the Department, the Graduate School of Engineering and Management, and the Institute in evaluating candidates for promotion. We solicit your opinion of Dr. <candidate's name>'s achievements thus far in his <or her> professional career.

Promotion to the rank of Associate Professor with tenure at the Air Force Institute of Technology is granted to those who have a record of substantial success in both teaching and research. The Air Force Institute of Technology is the graduate school of the U.S. Air Force and is committed to high-quality graduate education and research that is primarily defense focused.

The Department of xxx offers an M.S. program in yyy and Dr. <candidate's name> is on this program's faculty. In order to help you evaluate Dr. <candidate's name>, some background on the yyy program at AFIT may be useful. There are x full-time equivalent faculty affiliated with the program. Students successfully completing the 18-month ABET-accredited program receive an MS degree in yyy. Approximately x fully-funded DoD students matriculate each year into the program. The Air Force also provides approximately \$xxxk annually to buy equipment, supplies, and manpower to support program research activities. Program faculty brought in \$yyyk in external research funding in FY 06. Our overhead rate is 17-29%.

The Graduate School of Engineering and Management measures research success using standards similar to those of major academic departments in the candidate's field. In your evaluation, could you please comment on:

- How long have you known Dr. <candidate's name>, and in what capacities? (Please note that you need not know the candidate to do the evaluation.)
- What is your candid estimate of Dr. <candidate's name>'s scholarship, including the recognition of his/her work?

- What is your candid estimate of how Dr. <candidate's name>'s accomplishments compare with leading scholars at similar stages in their careers in the same or related sub-areas of <candidate's field>?
- Your frank assessment of whether Dr. <candidate's name> merits promotion to Associate Professor with tenure.
- If you have specific knowledge of Dr. <candidate's name>'s abilities as a teacher or his/her service activities, how would you compare those with leading scholars at similar stages in their careers?

I have included Dr. <candidate's name>'s curriculum vitae to assist you in your evaluation. I have also included copies of three publications. Should you require any additional information, please let me know and I'll forward them immediately.

Evaluations of this type are difficult and time consuming, but promotion decisions are perhaps the most critical assessment in a faculty member's career. The Department Promotion and Tenure Committee very much appreciates your help in this evaluation. In order to meet our internal deadlines, we would appreciate your response by no later than December 31, 2006.

I would like to emphasize that your identity will be held in confidence to the extent possible. However, as a federal institution, we may be compelled to provide this information in response to appropriate requests.

Thank you for your assistance.

Sincerely,

Jane Doe, Professor and Head
Department of <candidate's department>

Enclosures

Candidate's vitae
Sample publications

Appendix E: Sample Commission Letter to External Non-Academic Reviewer

The following letter is purely a sample and department dependent.

Mr. John Doe
<reviewer's affiliation>
<reviewer's address>
City, State, Zip Code

October 15, 2006

Dear Mr. Doe:

The Department of <candidate's department> at the Air Force Institute of Technology is considering Assistant Professor <candidate's name> for promotion to the rank of Associate Professor with tenure. External evaluations play an important role in the Department, the Graduate School of Engineering and Management, and the Institute in evaluating candidates for promotion. We specifically seek your opinion of how well Dr. <candidate's name>'s achievements thus far in his <or her> professional career support the mission of the U.S. Air Force and/or Department of Defense.

Promotion to the rank of Associate Professor with tenure at the Air Force Institute of Technology is granted to those who have a record of substantial success in both teaching and research. The value of service to the U.S. Air Force and/or Department of Defense is also an important consideration. The Air Force Institute of Technology is the graduate school of the U.S. Air Force and is committed to high-quality graduate education and research that is primarily defense focused. [The letter may include additional information on AFIT].

The Department of <candidate's department> offers M.S. and Ph.D. programs in <candidate's field> and Dr. <candidate's name> has been involved in both of these programs. [Insert extended comments on the nature of the candidate's academic department and programs.]

In your evaluation, please include:

- How long have you known Dr. <candidate's name>, and in what capacities? (Please note that you need not know the candidate to do the evaluation.)
- The relevance and importance of Dr. <candidate's name>'s research to your organization in particular, or to the Air Force or Department of Defense in general.
- If possible, specific knowledge of Dr. <candidate's name>'s teaching or service activities and the extent to which these have contributed to the mission of your organization, the U.S. Air Force or Department of Defense.

I have included Dr. <candidate's name>'s curriculum vitae summary to assist you in your evaluation. I have also included copies of three publications. Should you require any additional information, please let me know and I will forward them immediately.

Evaluations of this type are difficult and time consuming, but promotion and tenure decisions are perhaps the most critical assessment in a faculty member's career. The Department Promotion and Tenure Committee very much appreciates your help in this evaluation. In order to meet our internal deadlines, we would appreciate your response by no later than December 31, 2006. If you will be unable to provide an evaluation, please let me know immediately.

I would like to emphasize that your identity will be held in confidence to the extent possible. However, as a federal institution, we may be compelled to provide this information in response to appropriate requests.

Thank you for your assistance.

Sincerely,

Jane Doe, Professor and Head
Department of <candidate's department>

Enclosures
Candidate's vitae
Sample publications

Appendix F: Promotion and Tenure Cycle Timeline

<u>Date</u>	<u>Action</u>
Before 1 Oct (Page 27, Sec 8d)	The Department Committees will provide written guidelines for promotion and tenure expectations to the faculty and forward them to the School Committee.
By 14 Oct (Page 11, Sec 4e)	<p>Candidate consults with the Department Head and the Department Committee.</p> <p>Candidate prepares Vita.</p> <p>Department Committee selects four external reviewers.</p>
By 21 Oct (Page 25, Sec 7b Subsections 1-6)	<p>The School committee will review selection of external reviewers.</p> <p>Required information for each potential reviewer includes:</p> <ul style="list-style-type: none"> Full name and full academic title Institution or organization Mailing address and email address Telephone number with area code and fax number A brief statement of the potential reviewer's credentials and familiarity with the candidate's Scholarly activities.
(Page 11, Sec 4e)	Dept Head sends letter of commission to reviewers by 21 Oct.
By 28 Feb (Page 11, Sec 4e) (Page 24, Sec 6a)	<p>Dept Committees forward packages to the School Committee.</p> <p>A complete candidate package must include:</p> <ul style="list-style-type: none"> (1) the candidate's vita (2) the candidate's personal statement requesting the action (3) a file of the candidate's publications (4) a Department Committee evaluation (5) the Department Head's letter of evaluation (6) the Department Head's letter to the external reviewers (7) four letters of external review (8) a draft Letter of Appointment (9) a draft Summary of Accomplishments for the announcement of successful actions.
By 1 Apr (Page 11, Sec 4e)	School committee completes evaluation and sends recommendation to the dean.