**Probationary Period:**

The normal probationary period for candidates holding full-time tenure-track appointments in the School of Engineering & Applied Science is seven years. If, however, there are compelling reasons, a candidate may submit a written request to the department chair and the dean to extend the probationary period for up to three additional years. In no case will the tenure probationary period extend beyond ten years.

When a faculty member is hired after full-time academic service at another institution of higher learning, s/he and the department chair and dean must determine whether that prior service should be counted toward the faculty member’s probationary period at Washington University. Prior full-time academic service is normally counted toward the probationary period, but may be excluded if the faculty member, department chair and dean agree that it should not be considered for one or more of the following reasons:

(a). it involved significantly different responsibilities or a significantly different institutional setting (for example, a visiting position, a position in a different field, or a position for which significant time was not allotted for scholarship);
(b). it was not probationary/tenure-track service; or
(c). it was concluded many years ago.

Fellowships, lectureships, and adjunct, courtesy and part-time appointments do not qualify as countable prior service. Unless otherwise mutually agreed in writing, certain prior academic service must be counted toward the faculty member’s probationary period at Washington University. Under University policy, prior tenure-track (or equivalent) academic service at another institution of higher education ordinarily will be credited toward the probationary period at Washington University, even though the total probationary period in the academic profession is thereby extended beyond the normal probationary period of the school.

The probationary period commences upon the initial full-time tenure track appointment. A detailed mid-term review of a candidate’s prospects for achieving tenure is highly recommended. A tenure decision will be made no later than during the penultimate year of the probationary period, so that if the candidate is not successful, notice can be given in accordance with section IV.B.4 of the Washington University Policy on Academic Freedom, Responsibility, and Tenure. Earlier tenure decisions are possible but only under exceptional circumstances.

There is no time limit over which an associate professor with tenure can serve at that rank. Associate professors are normally reviewed by their primary department for promotion to
the rank of Professor during their sixth year of full-time tenured service. Strong justification is required for an earlier promotion. However, consideration for promotion at any later time will be made upon the request of the faculty member and/or recommendation of the department chair.

**SEAS Advisory Committee on Tenure and Promotion:**

This committee shall be appointed by and advise the dean on nominations from the department chairs for the awarding of tenure and for promotion to the ranks of associate professor and full professor. This standing committee shall be comprised of a full-time faculty member with rank of full professor from each SEAS department, but not the department chairperson, as well as a representative from a school outside of SEAS. The members of this committee will serve staggered three-year terms such that there will be about one-third new members each year. The committee’s job is to review the materials provided by the department chairpersons and make recommendations to the dean with an eye towards ensuring a high level of consistency and fairness in this process. Except in extenuating circumstances, the committee is not expected to, nor is responsible for obtaining additional materials for review. The committee may return a casebook to the dean, who will then return it to the department chair, if it fails to contain the required materials or information.

**Timeline and Process:**

For a regular tenure-track faculty member, the tenure decision process begins near the end of the fifth year of service (to be adjusted if the probationary period has been extended beyond seven years). The following summarizes the steps for both the tenure and promotion process:

- Department faculty will meet during the spring each year to discuss which tenure and promotion to full professor cases will be considered during the next academic year (tenured faculty only for tenure cases; full professors only for promotion cases).
- The department chair will appoint an ad hoc committee for each case of at least three tenured faculty members (full professors for promotion cases) to prepare the candidate’s casebook.
- The candidate will provide a list of six to eight names for external letters and all other required items to the committee by August 1. The committee will independently generate a list of five to six letter writers from others prominent in the field, and a final list of eight to ten names will be created that will include at least three names not on the candidate’s list. Letter requests should be sent by August 15.
- The committee will collect the external letters and prepare the casebook by September 30.
- One member of the ad hoc committee will present the casebook to the department’s tenured faculty in October.
- After the departmental meeting, the casebook will be amended to include the departmental vote **(by secret ballot)** and any significant elements of the discussion.
• The department chair will submit eight copies of the casebook, the department’s decision, and the chair’s recommendation letter to the Dean’s office by November 1*.
• The casebooks will then be forwarded to the SEAS Advisory Committee on Tenure and Promotion.
• The candidate’s department chair will present the case for the candidate to the Tenure and Promotion committee in the presence of the dean; the department chair will be excused and a discussion and vote will follow.
• The dean will evaluate the case based on the casebook, the discussion of the case by the candidate’s chair, and the advice of the Tenure and Promotion committee. Following this advice, the dean will make the decision whether to forward tenure recommendations to central administration for presentation to the Education Policy Committee of the Board of Trustees at the March Board of Trustees meeting. The dean’s decision regarding recommendations of promotion will be forwarded to the provost.

Material to be Included in a Candidate’s Casebook:

The following material should be included in the candidate’s casebook and submitted to the department chair in preparation for requesting letters of recommendation:

Curriculum Vitae to include:
• List of all academic appointments in reverse chronological order.
• Complete educational history in reverse chronological order.
• List of publications divided into those currently under review, all peer-reviewed archival journal articles and refereed conference articles. List all authors in the order they appear, the full title and complete publication information, including inclusive page numbers. These should be in reverse chronologic order.
• List of other publications, e.g. review articles, books and book chapters.
• List of invited lectures and other contributions.
• List of patents and licenses.
• List of all courses taught by semester indicating the candidate’s role in that course, i.e. whether developed by candidate, ongoing, co-taught or team taught, etc.; the level of the course, i.e. undergraduate/graduate and the number of students of each level enrolled.
• List of all current and previous graduate students supervised or co-supervised, the degree, year awarded or anticipated to be awarded. If co-supervised, list the primary mentor. For doctoral students, list the title of the thesis and placement information.
• Complete and detailed history of research funding including the title, funding agency, candidate’s role and percent effort, total duration of the grant, current annual direct costs and total direct costs for the duration of the grant. If the candidate is not the principal investigator, list the principal investigator.

*This date may be altered to meet the demand for more immediate action, i.e., in the event of recruitment or retention.
• Membership in and service to professional organizations.
• University and professional leadership and service to include committees, review panels, administrative appointment, etc.

Additional material:

• A statement summarizing past and current research contributions highlighting their impact and significance as well as future research plans/professional aspirations.
• Candidate’s teaching statement including teaching methods and interests.
• Indicate the most significant publications (minimum of 5, maximum of 10), the number of citations for each and the source of the citation information.
• Copies of three most significant publications.

Material for Departmental Review:

In addition to the materials sent to outside referees, the following additional material should be included in the casebook for the departmental review:

• Summary course surveys for all courses taught by the candidate at Washington University.
• Peer faculty assessment of the candidate’s teaching abilities. These can be gleaned from attendance at lectures, seminars, qualifying examinations, thesis proposals, etc.
• List of all those who were also asked to submit letters of reference along with their credentials and, if possible, their reasons for declining to write. This list should include the candidate’s own list as well as those referees sought by the chair.
• Copies of all letters of recommendation. The letters of reference must include at least six from persons other than Washington University faculty. Letters from faculty at Washington University are in addition to these six. Unsolicited letters should not be included.
• Copies of all letters of solicitation seeking evaluation and letters of reference.
CRITERIA FOR APPOINTMENT
TO TENURED FACULTY POSITION
in the
WASHINGTON UNIVERSITY
SCHOOL OF ENGINEERING AND APPLIED SCIENCE

Preamble:
The purpose of this document is to provide explicit guidelines for tenure and promotion in Washington University's School of Engineering and Applied Science (SEAS). Tenure is granted by the Board of Trustees upon the recommendation of the chancellor. The awarding of tenure represents a commitment by Washington University to faculty members of continued service that will often last for the remainder of their professional lifetimes. It is therefore expected that candidates for tenure demonstrate (i) outstanding research accomplishment, (ii) a commitment to and excellence in teaching, and (iii) valuable service to the University and research community. Because of the long-term commitment that awarding of tenure represents, it is expected that tenured faculty members continue to be productive contributors to their fields and remain committed to enhancing the performance and reputation of the School and the University.

Criteria for Awarding Tenure:
The decision to award tenure generally occurs after several years of career development, usually, but not always, together with promotion from assistant to associate professor. For a candidate from an academic institution to be awarded tenure, the research and teaching criteria must be satisfied with distinction in the years immediately preceding the decision. Due consideration is also given to the candidate's service to the University and professional community. For those from non-academic backgrounds, research achievements play a paramount role but due consideration is also given as to whether there were opportunities for classroom teaching or other types of professional mentorship. Implicit in the tenure decision is the possibility that the school might select and appoint someone else. Therefore, a recommendation to award tenure should be made with some assurance that the candidate is on a par with the best possible individuals that the University could expect to recruit to the position. The following three criteria should be interpreted with this in mind.

Criterion 1. Outstanding Research
The awarding of tenure requires compelling evidence of high research quality and impact as well as clear potential for intellectual leadership in the field. This evidence can be manifested in many different ways. Primary evidence includes (i) recognition by peers and leaders in the candidate's field that he/she is a premier researcher when compared to others at an equivalent career stage, (ii) high quality, high impact publications in peer-reviewed journals and/or conference proceedings and (iii) production of well-trained doctoral students who are prepared for careers that can advance their field. With respect to publications, their quality and impact are more important than quantity. Secondary evidence of research quality and impact may include invited papers; chairing, organizing sessions or presenting at national professional conferences; adoption of the candidate's software; membership on editorial boards; serving as a reviewer for national funding agencies; holding patents and licenses; and consulting activities. Generally, candidates without strong primary evidence will not be successful in gaining tenure.
The impact and significance of candidates' research is related to the significance of the area as measured by innovativeness, importance to industry, a high level of available funding, extensive coverage in textbooks and other media, or the opinions of experts. Of course, emerging areas may not have all of these attributes, but there should still be some evidence of their potential, long-term importance.

Successful candidates for tenure are expected to have demonstrated the ability to raise the funding needed to support a strong research program. While funding is not a measure of research accomplishment, it is an essential ingredient in an academic research program, and candidates must be able to show that they can attract the resources required to sustain a successful research program in their fields.

In addition to a strong record of accomplishments, the candidates are expected to have ambitious plans for the future as judged by their statement of research and future plans. Indications of such plans could be a series of related publications, efforts and success at securing funding.

**Criterion 2. Teaching Excellence**

Washington University expects its faculty to be excellent teachers, interpreted broadly to include both classroom instruction and mentoring at various levels, as well as other appropriate educational activities. Excellence can be demonstrated in many ways including nomination for, or winning of teaching or educational awards; achievements and success of students or advisees mentored by the candidate; strong course evaluations; supportive testimonials from current or former students; and positive feedback from faculty peers.

All faculty are expected to demonstrate a strong commitment to undergraduate teaching. This may be demonstrated by developing courses with teaching materials and instructional aids; publication of laboratory procedures, software, monographs, and textbooks; participation at national conferences on teaching and education; advising student academic and honorary organizations, participation in special educational programs and academic advising and mentoring.

**Criterion 3. Service to Washington University and the engineering profession**

Service to the University includes activities such as department-level and university-wide committees, participation in outreach activities, and advising student organizations. Service to the engineering profession includes membership, chairing committees or holding office in professional organizations; editorships of journals and conference proceedings; and serving as a reviewer for publications and research proposals.
CRITERIA FOR PROMOTION OR APPOINTMENT 
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Like the awarding of tenure, promotion to full professor is based upon the quality of research, teaching and service. To be judged favorably for promotion, the candidate must be judged to be conducting, and to continue to conduct, outstanding research, teaching and mentoring in exemplary fashion and providing valuable service to the University and/or professional community. All of the specific criteria pertaining to the awarding of tenure listed in the Washington University School of Engineering and Applied Science’s document entitled “Criteria for Appointment to Tenured Faculty Position” also pertain to this promotion but are expected to be at a level commensurate with and will be judged with respect to peers at similar rank at other academic institutions. Specifically, there must be compelling evidence that the candidate has fulfilled the guidelines on which tenure was awarded and has therefore achieved national or international stature in his/her field. Given the spectrum of individual achievements and preferences, it is not expected that every candidate would rate highly on all three criteria. However, the number and quality of achievements in one or more categories should suffice to provide reasonable uniformity across the SEAS with respect to faculty quality at this level.

Refer to the School of Engineering and Applied Science’s “Criteria for Appointment to Tenured Faculty Position” for specific details regarding this process.