

Faculty Tenure and Post-Tenure Review Policies by Institution

**In Response to
Senate Concurrent Resolution 16**



October 2018

OKLAHOMA STATE REGENTS FOR HIGHER EDUCATION

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Cameron University

reviewed, discussed, and evaluated by the Personnel Committee. In the course of the review the faculty member shall have the opportunity to meet with the Personnel Committee. After completion of the review, the Personnel Committee shall then send the portfolio and the Committee's written decision to recommend or not recommend promotion to the department chair.

Step 4 – By December 1, the department chair reviews the portfolio, evaluates each performance criterion, and considers the recommendation of the department personnel committee to decide to recommend approval or disapproval of the request. In either instance, the department chair notifies the faculty member of the action, providing reasons in writing for the decision, and forwards the request with an evaluation and a statement recommending approval or disapproval to the Dean. If the chair recommends disapproval of the request, the faculty member shall have ten working days to forward to the Dean a rebuttal of the chair's recommendation.

Step 5 – By January 15, the Dean reviews the portfolio, evaluates each performance criterion, and decides to recommend approval or disapproval of the request. In either instance, the Dean notifies the department chair and the faculty member of the action, providing reasons in writing for the decision, and forwards the request with an evaluation and a statement recommending approval or disapproval to the VPAA. If the Dean recommends disapproval of the request, the faculty member will have ten working days to forward to the VPAA a rebuttal of the Dean's recommendation.

Step 6 – By February 15, the VPAA reviews the portfolio, evaluates each performance criterion, and decides to recommend approval or disapproval of the request. The VPAA will then forward a recommendation concerning the request and all documentation to the President. The Vice President for Academic Affairs will also provide reasons in writing for the decision to the Dean, the department chair, the Personnel Committee, and the faculty member.

Step 7 – By March 15, upon receiving all recommendations from the VPAA, the President decides either to approve or disapprove the request. If approved, the recommendation is forwarded to the Board of Regents, normally at the May meeting. The President informs the VPAA of the decision. In turn, the VPAA notifies the Dean, the department chair, the personnel committee, and the faculty member in writing. A decision by the President to disapprove a request for promotion should be accompanied by reasons in writing.

4.5 ACADEMIC TENURE

- a. Tenure is a distinctive honor. Tenure is defined as continuous reappointment which may be granted to a faculty member in a tenure-track position, subject to the terms and conditions of appointment.
- b. The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the University. While specific responsibilities of faculty members may vary because of special assignments or because of the particular mission of an academic unit, all evaluations for tenure shall address at a minimum whether each candidate has achieved excellence in the following areas: 1) teaching; 2) research and creative/scholarly activity; 3) and professional and University service and public outreach; and 4) performance of non-teaching or administrative duties, if appropriate. The academic department may formulate standards for this review and determine the appropriate weight to be accorded each criterion consistent with the mission of the academic unit.

- c. Tenure is granted by the Board of Regents upon recommendation of the President. Determination of merit and recommendation for granting tenure shall comport with the criteria and policies and procedures contained in this section.
- d. Tenure shall be granted only by written notification after approval by the Board of Regents. Only full-time faculty members holding the academic rank of Assistant Professor, Associate Professor, or Professor may be granted tenure.

4.5.1 Concepts Regarding Tenure

1. The interests of the University will best be served through a spirit of cooperation and a sense of mutual confidence among the faculty, the departments, the academic Deans, the VPAA, and the President. The procedure for recommending tenure is designed to systematize as well as to encourage such cooperation and mutual confidence.
2. A maximum of sixty-five percent of the full-time faculty at the University may hold tenure at any one time. In the event the sixty-five percent limit is reached, there will be no additions to the tenured faculty at the University. However, the tenure process on campus will continue. Faculty members recommended for tenure will be placed in a priority-hold status by year, pending vacancies. As tenured positions become available, faculty members will be removed from tenure-hold according to the following criteria in decreasing order of importance: longest time on tenure-hold, longest service to the University, highest rank, and longest tenure-eligible service.
3. The University acknowledges the following AAUP statement on tenure: “The heightened protection of the tenured faculty is not a privilege, but a responsibility earned by the demonstration of professional competence in an extended probationary period leading to a tenured position with its ‘rebuttable presumption of professional excellence’.” *“Post-tenure Review: an AAUP Response”*
4. Under exceptional circumstances, a new faculty member may be recommended for tenure by a department chair, an academic Dean, the VPAA, or the President without going through the normal process.
5. In the event that one of the deadlines in the tenure process falls on a weekend or holiday, the deadline becomes the next working date at the University.
6. After the tenure process is completed, the following action should be taken:
 - a) The results of all balloting and recommendations from the Dean, department chair, and VPAA will be placed in the personnel file of the candidate.
 - b) The portfolio and a copy of all recommendations will be returned to the candidate.
7. Once the tenure process had been initiated, it must be completed.

8. Once an application for tenure has been denied a faculty member may not apply for tenure again.
9. Any exception to the policy on tenure is subject to approval of the President and the Board of Regents.

4.5.2 Periods of Appointment and Tenure

Faculty members holding the academic rank of Assistant Professor, Associate Professor, or Professor may receive tenure at any time. A probationary period will be defined for each faculty member at the time of initial appointment consistent with Section 4.5.4. Six years shall be the maximum probationary period for the eligible faculty member to attain tenure.

If, at the end of six years any faculty member has not attained tenure, the faculty member may be retained on the faculty until the end of the academic year following that in which there was notification of the denial, unless there are reasons (under Section 4.5.6) to the contrary. For the purpose of determining probationary employment of faculty members for tenure consideration, sabbatical leave counts as a part of the period of probationary employment, and a leave of absence is not included as part of the probationary period.

4.5.3 Procedure and Timeline for Requesting Tenure

The normal procedure for granting tenure is initiated by the faculty member during the fifth or sixth year of service to the University in a tenure track position. The following steps outline the normal process:

A Portfolio Transmittal Form to certify the receipt dates and transmittal dates at each step of the tenure process must accompany the request and is available in the University Forms folder on the intranet. It is the responsibility of the faculty member to monitor the flow of materials through the process. At each stage of the tenure process, previous recommendations and any rebuttals should be forwarded with other documents.

Step 1 – By October 15:

The faculty member files a written request for tenure with the department chair. It is the responsibility of the individual faculty member to initiate the request for tenure and to prepare the portfolio of materials. The request must be accompanied by a portfolio exhibiting documentation of excellence in teaching or librarianship, in research and creative/scholarly activity; and professional and University service and public outreach, and in performance of non-teaching or administrative duties, if appropriate. The portfolio must also include the Annual Academic Performance Review documents.

Step 2 – By November 1:

A Tenure Committee shall be formed. If there are at least five (5) tenured faculty members within the department, all serve as the Tenure Committee. In the event that the number of tenured faculty members in the department is fewer than five, the Dean, in consultation with the faculty member and the tenured faculty members of the department, shall select additional members to form a group of at least five tenured faculty members that will serve as the Tenure Committee.

Step 3 – By November 15:

The Department Chair shall call a meeting of the Tenure Committee to initiate discussion of the request. After each member of the Tenure Committee critiques the portfolio and each performance criterion, the faculty member's performance shall be reviewed, discussed, and evaluated by the Tenure Committee. This review shall be conducted in a manner that allows for input from non-tenured colleagues, students, and alumni, as well as administrative information from the department chair. The department chair however is not allowed to participate in Committee deliberations. In the course of the review, the faculty member shall have the opportunity to meet with the Tenure Committee. After completion of the review, a poll by secret ballot of the Tenure Committee will be taken to determine whether a recommendation for the granting of tenure will be made. A simple majority rule shall prevail. The Tenure Committee shall then send the portfolio, the Committee's vote, and the recommendation to grant or to deny to the department chair. The Committee's recommendation should be signed by all members of the committee denoting the process was conducted according to procedures. All ballots are to be retained by the chair of the Tenure Committee until a final decision is reached concerning the request.

Step 4 – By December 1:

The department chair shall review the Tenure Committee's vote, critique the portfolio, evaluate each performance criterion, and decide whether to recommend the granting of tenure. The department chair will then forward a recommendation concerning the request and all documentation to the Dean. The department chair will also provide in writing a statement of his/her action to the Tenure Committee and the faculty member. If the chair recommends disapproval of the request, the faculty member will have ten working days to forward to the Dean a rebuttal of the chair's recommendation.

Step 5 – By January 1:

The Dean shall review the department chair's recommendation, and the Tenure Committee's vote, critique the portfolio, evaluate each performance criterion, and decide whether to recommend the granting of tenure. The Dean will then forward a recommendation concerning the request and all documentation to the VPAA. The Dean will also provide a written statement of his/her action to the department chair, the Tenure Committee, and the faculty member. If the Dean recommends disapproval of the request, the faculty member will have ten working days to forward to the VPAA a rebuttal of the Dean's recommendation.

Step 6 – By February 1:

The VPAA shall review the Dean's recommendation, the chair's recommendation, and the Tenure Committee's vote and recommendation, and decide whether to recommend or not recommend the granting of tenure. The VPAA recommends granting or denying tenure and notifies the President and the faculty member in writing. The VPAA will also provide a written statement of his/ her action to the Dean, the department chair, and the Tenure Committee.

Step 7 – By March 1:

Upon receiving a recommendation from the VPAA, the President decides to approve or

disapprove the request for tenure.

If the President approves the request for tenure, she/he shall recommend the granting of tenure to the Board of Regents, normally at the May meeting. The President then reports the action of the Board of Regents to the VPAA, the Dean, the department chair, and the faculty member.

If the President disapproves the request for tenure, she/he shall notify the VPAA, the department chair, the Tenure Committee, and the faculty member. A decision by the President to disapprove a request for tenure shall be accompanied by reasons in writing.

Since only the Board of Regents may grant tenure based upon a recommendation by the President, de facto tenure is not recognized by the University.

4.5.4 PROBATIONARY PERIODS FOR TENURE TRACK FACULTY

1. Notification of Employment

The Employment Letter furnished to a candidate for appointment to the faculty shall specify, in addition to the rank and salary, the length of the probationary period for the appointment and any special conditions pertaining to the appointment. All such conditions must be set forth in writing by the VPAA and approved by the President whenever any faculty appointment is offered.

2. Commencement Date of Probationary Period

The probationary period for a faculty member whose effective date of appointment is later than the start of the academic year but no later than the first day of the second semester will be considered as dating from the beginning of the first semester, provided that the department or division in question records in writing its prior agreement to such an arrangement. If the effective date of appointment is later than the first day of the second semester, the probationary period shall begin with the first semester of the next academic year. (The beginning of academic year appointments is August 15, and the beginning of the second semester is January 1.)

3. Term of Probationary Period for Professors

A new faculty member appointed at the rank of Professor may be given tenure from the date of appointment, or a probationary period may be set. Persons with three or more years of prior service may have a probationary period of no more than three years. The probationary period's length shall be set at the time of offer by the tenured members of the appointee's academic department, subject to agreement by the Dean, the VPAA, and the President. If a majority of the department's tenured faculty members do not favor tenure upon appointment, the determination of tenure shall be made in the regular fashion, as specified in Section 4.5.2.

4. Term of Probationary Period for Assistant and Associate Professors

For a faculty member who is eligible for tenure and whose initial appointment is at the rank of Assistant Professor or Associate Professor, the probationary period shall be no more than six academic years or 12 regular semesters, and will be established in the formal offer of employment letter from the VPAA to a faculty applicant. Included in the probationary period may be prior full-time service (up to a maximum

of three years) in professorial ranks at other institutions of higher education, or prior regular full-time service (up to a maximum of three years) that the appointee may have performed in the past at the University in the rank of Instructor or above subject to approval by the President after consideration of the recommendations of the appropriate department chair and Dean. Prior full-time service as Instructor or in a comparable non-professorial rank at other institutions of higher education and prior full-time service on temporary appointments at the University may also be included as part of the probationary period if this arrangement is agreed upon in writing at the time of the first regular appointment. The parties to such an agreement are the appointee, the academic department chair, the Dean, and the VPAA.

5. Converting from Part-Time to Full-Time Service

Whenever an untenured part-time faculty member converts from part-time to full-time service, with the rank of Assistant Professor or above, specific written understanding must be approved by the VPAA as to if and how the period of part-time service will be counted toward satisfying the probationary period for tenure.

6. Family Medical Leave During Probationary Period

If a tenure-track faculty member takes Family Medical Leave, the probationary period prior to a tenure decision may be extended for one year at the written request of the faculty member with approval of the President after consideration of the recommendations of the appropriate department chair, Dean, and VPAA.

7. Annual Performance Evaluation During Probationary Period

During the probationary period, a faculty member will be provided by the chair of the academic department with an annual, written evaluation of performance. Such annual evaluation shall be provided prior to the applicable notification deadline for reappointment, with a copy sent to the Dean and the VPAA (See Section 4.3).

8. Starting Date for Tenured Appointments

Faculty members accorded tenure normally will commence their tenured appointments in the academic year immediately following the Board of Regents' action.

4.5.5 Notification of Denial of Tenure

A faculty member at any rank who is denied tenure may be retained on the faculty until the end of the academic year following that in which there was notification of the denial, unless there are reasons (under Section 4.5.6) to the contrary.

4.5.6 Causes for Dismissal or Suspension of Tenured Faculty

The University strives to exercise great care in selecting its faculty appointees and to confer tenure upon only those faculty members who have demonstrated their merit for tenured appointment. For that reason, severe sanctions such as a dismissal proceeding involving a tenured faculty member (abrogation of tenure) or of a regular faculty member during a non-tenure track or tenure-track appointment should be an exceptional event. It is also recognized, however, that a few faculty members may, from time to time, engage in improper conduct which require severe sanctions short of dismissal. Such sanctions may

include but are not limited to loss of prospective privileges for a stated period; restitution; a fine; a reduction in salary; or suspension from service for a stated period, without other prejudice. As in the case of dismissal, the imposition of severe sanctions short of dismissal should be viewed as a serious and infrequent step usually undertaken only after administrative remedies and minor sanctions have failed.

While extreme action will be required infrequently, the University must be prepared for such an eventuality, so that both the integrity of the University and the rights of the faculty member may be preserved. Toward this end, the faculty must be willing to recommend severe sanctions upon or dismissal of a colleague when necessary. By the same token, the President and the Board of Regents shall give all reasonable consideration to faculty recommendations.

Only the Board of Regents has the power to impose severe sanctions. The Regents shall exercise this power only in cases where it determines that there exists sufficient cause for such action.

A faculty member against whom the imposition of a severe sanction is to be brought or whose dismissal is to be requested must have given such cause for the action as relates directly and substantially to his/her professional capabilities or performance. It is not possible to specify all proper grounds for these drastic measures. Proper reasons for dismissal of a regular faculty member who has tenure or whose tenure-track appointment has not expired include, but are not necessarily limited to, the following:

- a) Professional incompetence or dishonesty, including but not limited to, academic dishonesty, or misuse of University property or resources;
- b) Substantial, manifest, or repeated failure to fulfill professional duties or responsibilities;
- c) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities, including but not limited to, deliberate and grave violations of the rights and freedoms of fellow faculty members, administrators, or students.
- d) Serious violations of law which are admitted or proved before a competent court, preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities, or violations of a court order, when such order relates to the faculty member's proper performance of professional responsibilities;
- e) Changes in the University's educational function through action of the Board of Regents and/or the State Regents for Higher Education, which result in the elimination of an academic unit. In such instances the University will make every reasonable effort to reassign affected faculty members to positions for which they are properly qualified before dismissal results from such elimination; *
- f) Financial Exigency; *
- g) Action(s) involving moral turpitude.

* Although not considered severe sanctions, (e) and (f) are proper reasons for dismissal of a faculty member who has tenure or whose tenure-track appointment has not expired.

Suspension of a faculty member or assignment to other duties in lieu of suspension is justified only if immediate harm to the faculty member or to others is threatened by that person's continued performance of regular duties. The faculty member may on request, and at the convenience of the department, be relieved of some professional duties if this is necessary to provide time for the preparation of a defense. Summary suspension does not remove from the University the obligation to provide due process within a reasonable period of time following action. (*The University of Oklahoma Board of Regents' Policy Manual Section 2.3.4.2*)

1. Suspension of a Tenured Faculty Member

The President shall have the authority to suspend any faculty member formally accused of the causes listed above. The President shall notify the Board of Regents of the terms and conditions of the suspension. A faculty member should be suspended only if harm to the faculty or students is imminent or disruption of the educational process is threatened by the faculty member's continuance. During the suspension period, compensation for the faculty member will be continued unless, during the suspension period, the faculty member is convicted of a felony or a crime involving moral turpitude.

2. Dismissal of a Tenured Faculty Member for Cause

Dismissal proceedings shall begin with a conference between the faculty member and the appropriate academic officer. The conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of the tenured faculty member and the University would be served by the faculty member's resignation. If this conference does not result in mutual agreement, the academic officer will submit a recommendation in writing with rationale to the faculty member and to the VPAA. Within fourteen University business days, the VPAA shall have a conference with the faculty member.

This conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of the tenured faculty member and the University would be served by the faculty member's resignation.

If this conference does not result in mutual agreement, the VPAA will submit a recommendation in writing with rationale to the faculty member and to the President. If the President concurs with the recommendations for dismissal, the President shall send written notice of pending suspension or dismissal to the faculty member and to the VPAA. The faculty member will be notified by registered mail with a return receipt requested. Every reasonable effort must be made by the President to insure that the communication is delivered to the faculty member without delay.

3. Termination for Cause or Suspension of Non-Tenured Faculty

The termination of employment for cause or suspension of a non-tenured faculty member within an existing contract period shall follow the same procedures and be limited to the same reasons as provided for tenured faculty members who are terminated for cause or suspended. A failure to re-appoint may be without specific or stated cause.

4. Disciplinary Action Other Than Dismissal or Suspension

Disciplinary action affecting the terms of employment taken by the University against a tenured faculty member must be based upon causes stated in this section. Disciplinary action shall begin with a conference between the tenured faculty member and the Department Chair. If as a result of the conference, the academic officer finds that disciplinary action is warranted, a written recommendation for action should be forwarded to the appropriate Dean. If, after review, the Dean decides not to proceed with further disciplinary action, both parties should be notified in writing. If the Dean determines that additional action is warranted, then a conference with the tenured faculty member should be arranged. The Dean may determine that no further action is necessary. If however, additional action is warranted, the faculty member and the VPAA shall be notified in writing within fourteen University business days. The VPAA should arrange for a conference with the faculty member. The VPAA may then determine that no additional action is necessary. However, the VPAA should notify the faculty member in writing if an additional plan of disciplinary action is made. A copy of the disciplinary action should be placed in the faculty member's personnel file.

5. Dismissal of Tenured Faculty for Program Discontinuance or Financial Retrenchment

A faculty member with tenure whose position is terminated based on genuine financial retrenchment, bona fide discontinuance of a program or department, or lack of need for the faculty member's service, will be given five months written notice unless an emergency arises.

Before terminating an appointment because of discontinuance of a program or department or because of other lack of need of the faculty member's services, the University will make reasonable efforts to place affected members in other suitable positions.

If an appointment is terminated because of financial retrenchment or because of discontinuance of a program or department, the released faculty member's position will not be filled by a replacement within a period of two years, unless the released faculty member has been offered reappointment at the previous status.

6. Appellate Committee on Dismissal or Suspension of Tenured Faculty Members

A tenured faculty member who receives notice of suspension or pending dismissal may request and shall be afforded a hearing before the Appellate Committee on Dismissal or Suspension of Tenured Faculty Members. Failure to make a request in writing to the President within fourteen days after receipt of notification shall constitute a waiver by such faculty member of his right to a hearing before the Appellate Committee on Dismissal or Suspension of Tenured Faculty Members. The University shall institute an Appellate Committee on Dismissal or Suspension of Tenured Faculty Members. The Committee shall not exceed nine tenured faculty members, eight of whom shall be nominated or elected by the faculty governing body of the University and one member appointed by the President of the University. A quorum shall be five members or a majority of qualified members of the Committee. Initially, one half of the elected members shall be elected for twelve months and one half shall be elected for twenty-four months; thereafter, one half shall be elected

each year. No member may serve more than two consecutive terms. At least one alternate member of the Committee shall be elected to serve in the event a regular member is unable to serve. If any member of the Committee is an interested party in a case that comes before the Appellate Committee on Dismissal or Suspension of Tenured Faculty Members, said committee member shall not serve on that case.

The incumbent Committee shall serve until the completion of any case pending at the time their term of service expires.

The decision of the Committee will be based on majority vote. The Committee will elect its own chair, who will have the right to vote.

7. Appeal Procedures for Tenured Faculty

After a tenured faculty member has requested a hearing before the Appellate Committee on Dismissal or Suspension of Tenured Faculty Members, service of notice of hearing with specific charges in writing will be made at least twenty days prior to the hearing. The faculty member may respond by waiving the hearing and filing a written brief or the matter may proceed to a hearing. If the faculty member waives hearing but denies the charge or asserts that the charges do not support a finding of adequate cause, the Appellate Committee on Dismissal or Suspension of Tenured Faculty Members will evaluate all available evidence, including testimony and documentary evidence presented by the University and make its recommendation upon the evidence in the record.

- a. If the faculty member requests a hearing, the Appellate Committee on Dismissal or Suspension of Tenured Faculty Members shall, with due diligence considering the interests of both the University and the faculty member affected, hold a hearing and report its findings and recommendations to the President and to the involved faculty member.
- b. At hearings before the Appellate Committee on Dismissal or Suspension of Tenured Faculty Members, faculty members and the University shall be permitted academic advisors and/or counsel. A court reporter will be retained by the University to record the proceedings. Parties will pay the cost of a copy of the transcript. The hearing shall be conducted in a closed session.
- c. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the University will attempt to secure the cooperation of such witnesses and will make available necessary documents and other evidence within its control. No employee of the University, regardless of position, should be excluded or excused from appearing before the Committee, if he/she is available.
- d. The faculty member and the University will have the right to cross examine all witnesses present. Depositions are admissible whenever a witness cannot appear.
- e. The Committee may conclude by secret ballot: a) that adequate cause for dismissal has been established by the evidence; b) that adequate cause for dismissal has not been established by the evidence, or c) that adequate cause for dismissal has been established, but an academic penalty less than

dismissal, including removal of tenure, would be more appropriate. The Committee may make any other recommendations it determines are appropriate. The Committee's findings and recommendations shall be made to the President. The Committee shall send a copy of its findings and recommendations to the affected faculty member.

- f. The President shall notify the affected faculty member of his/her recommendation to the Board of Regents. The faculty member shall have the right to request that the Board of Regents review adverse findings and recommendations of the President. The request must be in writing and filed within fifteen days after the President mailed the notification to the faculty member and to the Board of Regents. If the affected faculty member does not timely request that the Board of Regents review the President's findings and recommendations, the President's determinations become final and binding.
- g. In the event the faculty member submits a timely request to the Board of Regents to review adverse findings and recommendations of the President, the faculty member must indicate whether he/she desires a hearing of all of the evidence of the case; otherwise, the review will be a review of the record of the case. The Board of Regents has the discretion to determine whether the review will be a de novo hearing or a review of the record.
- h. Public statements and publicity about the case by the University will be avoided until the proceedings, including consideration by the Board of Regents, have been concluded.

4.6 POST-TENURE REVIEW POLICY

4.6.1 Purpose

Post-Tenure Review is a periodic peer-based evaluation of tenured faculty for the purpose of guiding career development and, when judged necessary, improving faculty performance. The Post-Tenure Review process is based on and extends the annual evaluation of faculty described in Section 4.3 through two processes: (1) a retrospective review of faculty performance in teaching or librarianship, research and creative/scholarly activity; and professional and University service and public outreach, and non-teaching or administrative duties, if appropriate, over the five years preceding the review, and (2) a formative evaluation for future professional growth.

Post-Tenure Review provides a formal opportunity for self-assessment and discussion with peers about professional development. For those faculty whose performance is judged to be below expectations, the evaluation shall lead to the formulation of a professional development plan, the purpose of which is to assist the faculty member to raise his/her level of performance to meet or exceed the expectations for tenured faculty.

Post-Tenure Review is mandatory for all tenured faculty who are reviewed under Section 4.3 unless they have signed an agreement to retire within the two years following the year of the scheduled review or have entered into a formal phased retirement agreement with the University.

Bearing in mind the value and importance of academic freedom and procedural due process to the well-being and success of the academic community, the University acknowledges and supports in principle the policies and procedures set forth in the AAUP's Standards for Good Practice in Post-Tenure Review. Post-Tenure Review is not a reevaluation of a faculty member's tenure status, nor is it intended as means to effect programmatic change. The Post-Tenure Review process will be

carried out in a manner that is consistent with the University's policies on academic freedom and responsibility (Sections 5.1 and 5.3) and faculty evaluation (Section 4.3). Post-Tenure Review will be based on the criteria for annual evaluation established by the faculty of the department and approved by the administration.

4.6.2 Timing of Post-Tenure Review

1. Schedule

Post-Tenure Reviews shall be initiated by the department chair immediately following the completion of the annual faculty evaluation process and shall proceed according to the following schedule.

By March 20: The faculty member shall submit to the Post-Tenure Review Committee the Post-Tenure Review dossier (4.6.4).

By April 15: The Post-Tenure Review Committee shall have reviewed the faculty member's dossier and met with the faculty member to discuss the faculty member's performance. The results of the review along with any recommendations for action shall be conveyed in writing to the Dean, the VPAA, and the faculty member. If the faculty member disagrees with the assessment or recommendation of the Committee, he/she shall have ten working days to submit a rebuttal to the Dean and to the VPAA.

2. Normal Review

Each faculty member shall undergo Post-Tenure Review in the fifth year after the year in which the faculty member is awarded tenure or promotion, whichever is later, and every fifth year thereafter. Annually, the office of the VPAA will identify those faculty members to undergo a normal Post-Tenure Review and establish and publish a time schedule for completing the required steps in the Post-Tenure Review process.

3. Early Review

A Post-Tenure Review shall be initiated earlier than the normal review cycle under the following circumstances:

- a. If the composite or overall rating of a tenured faculty member's performance on the annual evaluation is below expectations (2 or less on a 1-5 scale) for two consecutive years, an early Post-Tenure Review will be initiated immediately as an extension of the annual evaluation. Candidates for early Post-Tenure Review will be identified by the Post-Tenure Review Committee as part of the annual faculty evaluation process and reported to the Dean. However, the Post-Tenure Review Committee may request from the Dean permission to postpone initiation of an early review for one year if, in its opinion, the early review is not justified due to circumstances that the Post-Tenure Review Committee enumerates in its request to the Dean. With the approval of the Dean, the initiation of an early review shall be postponed one year. If the review is postponed and the faculty member is judged to have performed to expectations in this third year, no early review will be required. If performance continues below expectations, the early review will be conducted immediately following the third year annual evaluation.
- b. A tenured faculty member may request an early review for the purpose of

professional development. Such reviews are not subject to the mandatory professional development plan (Section 4.6.7).

4.6.3 Post-Tenure Review Committee

The review will be conducted by a Post-Tenure Review Committee composed of four tenured faculty members of the department of equivalent or higher rank as the faculty member undergoing review and the chair of the department with primary responsibility for evaluation of the faculty member, unless another arrangement has been approved in writing by the Dean and the VPAA. In the case that a department has more than four eligible tenured members of equivalent or higher rank, members of the Post-Tenure Review committee will be selected by the Dean in consultation with the faculty member and the eligible tenured members of the department of equivalent or higher rank. In the case that a department has fewer than four tenured members of equivalent or higher rank, additional members will be selected by the Dean in consultation with the faculty member and the eligible tenured members of the department of equivalent or higher rank. In the case of a joint appointment, the second department will be given an opportunity to provide input. In other exceptional cases, as determined by the VPAA, a senior faculty member outside the department but within the school shall be added to the Post-Tenure Review Committee, such member being chosen by the tenured faculty member under review from a list of three candidates selected by the VPAA. The results of the review will be forwarded simultaneously to the Dean and the VPAA. All recommendations for actions must be forwarded to the Dean for approval.

4.6.4 Components of the Review

Post-Tenure Review dossiers shall consist of the following elements:

1. Annual evaluations and mini-vitae for the previous five years. The annual evaluations and the accompanying mini-vitae from the five years previous to the review will constitute the primary sources of information about the faculty member's performance. The Post-Tenure Review will take into account the numerical evaluations (on a scale of 1 – 5) for effective classroom teaching or librarianship; research and creative/scholarly activity; and professional and University service and public outreach; non-teaching or administrative duties if applicable; and the composite evaluation reflecting the relative weights of the four categories.
2. A self-appraisal by the faculty member being reviewed. A written statement prepared by the faculty member will constitute a central element of the Post-Tenure Review dossier. This statement is intended to serve two purposes: provide a formal opportunity for the faculty member to reflect on his/her professional career and contributions to the University; and serve as a source of information to the Post-Tenure Review Committee to assist in helping the faculty member to develop professionally. In this statement, the faculty member should describe his/her past contributions to the department(s) to which he/she is appointed and to the University, assess the current state and direction of his/her career, and discuss what he/she has planned professionally for the next five years. This self-appraisal should include an evaluation of his/her past performance in the areas of teaching or librarianship, research and creative/scholarly activity; and professional and University service and public outreach, and non-teaching or administrative duties, if applicable; a statement of professional goals for the next five years; and an explicit discussion of how

achieving those goals will advance his/her professional career and contribute to achieving the goals of the department(s) to which he/she is appointed and the University as a whole. This document is not intended to be a contract but only a source of information to the Post-Tenure Review Committee to assist it in helping the faculty member to develop professionally.

3. The faculty member's current complete curriculum vitae.
4. Sabbatical leave reports. The report of activities and accomplishments of any sabbatical or other leaves that occurred during the interval being reviewed should also be included.
5. Post-Tenure Review Evaluations. A copy of the evaluations by the Post-Tenure Review Committee from the faculty member's previous Post-Tenure Review(s), if any.
6. Final Reports. A copy of previous professional development plans, if any.

In the course of the review, the faculty member shall have the opportunity to meet with the Post-Tenure Review Committee to discuss these documents and offer additional input.

4.6.5 Performance Expectations

Faculty members are expected to perform in all applicable categories of the annual evaluation and achieve a composite evaluation of higher than 2 on a criterion-referenced scale of 1-5. The criteria should be specified in the approved evaluation criteria of the department(s) to which the faculty member is appointed. As required under Section 4.3, academic departments should communicate carefully and clearly to their faculty the specific criteria for evaluation that are used for the basis of the annual evaluation.

When and only when a faculty member's five-year average composite evaluation is 2 or lower the faculty member shall be required to develop and participate in a professional development plan as described in Section 4.6.7.

4.6.6 Feedback

All faculty members undergoing Post-Tenure Review will be provided with written and verbal feedback about how they are developing as professionals and how the Post-Tenure Review Committee evaluates the professional goals of the faculty member in relation to the goals and mission of the department and the University. Within thirty days of receiving the faculty member's dossier, the Post-Tenure Review Committee will provide the faculty member with a written evaluation of his/her past performance, current status, and future professional goals.

4.6.7 Professional Development Plan

A professional development plan is intended to assist a faculty member whose performance is not meeting expectations to bring his/her performance up to the expected level. Participation in a professional development plan is mandatory for faculty members who, during Post-Tenure Review, are found not to meet the expectations for faculty performance, as described in Section 4.6.5. Other faculty members may request, from the Post-Tenure Review Committee, permission to participate in a professional development plan on a voluntary basis to assist in their professional development. Voluntary professional development plans are not subject to the sanctions described in Section 4.6.8 and shall not alter the cycles of the normal and/or early review or otherwise affect

those processes.

1. Process

The professional development plan shall be prepared cooperatively between the faculty member and the Post-Tenure Review Committee.

By May 1: The faculty member shall meet with the Post-Tenure Review Committee to discuss the results of the review and identify areas that should be addressed in the Professional Development Plan.

By September 1: The faculty member shall prepare a draft of the plan and submit it to the Post-Tenure Review Committee.

By September 15: The Post-Tenure Review Committee must prepare a final plan in negotiation with the faculty member and submit it to the Dean for approval. Should the faculty member disagree with the final plan prepared by the Post-Tenure Review Committee, he/she may write submit a written appeal to the Dean along with the plan, setting forth the reasons disagreement.

By October 1: The Dean must notify the faculty member and the Post-Tenure Review Committee, in writing, as to whether or not the final plan is approved. If the plan is not approved, the faculty member and the Post-Tenure Review Committee must be notified in writing of the reasons for the non-approval and the process described above shall be repeated until approval is obtained. Approval must be obtained by **November 1**.

Following approval of the plan, the Post-Tenure Review Committee must meet with the faculty member and explain both the contents of the plan, including the expected time-line, and the consequences to the faculty member of failure to attain the goals of the plan. Reasonable University resources to support implementation of professional development plans will be provided by the VPAA and the Dean. A faculty member shall have the two full annual evaluation cycles following the date the plan is approved to accomplish the goals of the plan and to bring his/her performance up to expected standards.

2. Content of the Plan

The professional development plan shall include the following components:

- a. Goals and expectations.
- b. Proposed activities.
- c. A time-line for the plan.
- d. Resources that will be made available to the faculty member to assist with completion of the plan.
- e. An explanation of the consequences of failure to attain the goals of the plan. (This provision is not applicable for a voluntary professional development plan.)

- f. Signatures of the faculty member, the Post-Tenure Review Committee members, and the Dean, verifying an understanding of the plan.

3. Monitoring, Follow-up, and Final Report

Formal written evaluation of the faculty member's progress towards meeting the goals of the professional development plan will take place as part of the annual evaluations of the faculty member following the implementation of the plan. Since less than a year will have elapsed between the implementation of the plan and the next annual faculty evaluation, that evaluation and the subsequent annual evaluation shall be used by the Post-Tenure Review Committee as opportunities to provide written feedback to the faculty member on his/her progress in meeting the goals of the plan. The final assessment of the faculty member's progress in meeting the goals of the plan shall occur during the third annual faculty evaluation after implementation of the plan. Following this third annual evaluation, a written report will be issued by the Post-Tenure Review Committee to the faculty member, with copies to the Dean explaining the outcome of the plan.

Failure of the faculty member to meet the goals specified in the plan and to bring his/her performance up to the level expected may lead to the recommendation for dismissal of the tenured faculty member, as defined in Section 4.5.6. The results of the professional development plan, including, without limitation, the final report, shall be relevant evidence in such a proceeding. In the proceeding, the University retains the burden of persuasion to show cause, as defined by the Faculty Handbook, provided nothing in this policy shall be construed to limit or restrict the University's authority to undertake the dismissal or suspension of a tenured faculty member as set forth in Section 4.5.6.

Alternative actions may be negotiated and implemented with approval of the Dean and the VPAA and may include, but are not limited to:

- a) resignation
- b) retirement.

4.6.8 Review of the Post-Tenure Review Policy and Procedures

The above Post-Tenure Review policy will be jointly reviewed by the Faculty Senate and administration at least every five years with respect to its effectiveness in supporting faculty development and redressing problems of faculty performance, the time and cost of the effort required, and the degree to which in practice it has been effectively cordoned off from disciplinary procedures and sanctions.

4.7 PERSONNEL RECORDS

An official personnel file will be maintained for all faculty members in the Human Resources Office and the appropriate Academic Dean's office. No other personnel files will be kept. The purpose of the file is to provide documentation supporting actions involving the faculty member. Personnel files shall not ordinarily contain political, social, or personal information without the permission of the faculty member. The faculty member may request to add or delete material from his/her file. If this request is denied, the proper grievance procedure may be followed (See Appendix G). Control of the personnel files will remain with the Human Resources Office or the appropriate Dean's office and access to the files will be supervised by personnel staff or the Dean's staff. Files may not be removed from the Human Resources Office or the Dean's office without written permission of the President. The personnel file will include, but not be limited to, the following:

Carl Albert State College
(no policy)

Connors State College
(no policy)

East Central University

president shall submit his/her recommendations for promotion to the board. When the board has acted, the faculty member applicant shall be notified in writing of its decision.

In case of denial of promotion, the aggrieved faculty member may file a written appeal to the Faculty Appeals Committee. The Faculty Appeals Committee, upon considering the appeal, then files its recommendation with the president for consideration. The president then notifies the faculty member of the final determination of his/her petition.

2.6 Policies on Academic Tenure

2.6.1 Definition of Tenure

Tenure is defined in the academic world as a privilege and a distinctive honor that may be granted to a faculty member in a tenure-track position, subject to the terms and conditions of the appointment. Tenure does not apply to an administrative position, but a tenured faculty member appointed to an administrative position retains tenure previously granted. A faculty member is a member of the instructional staff. Qualified, professional librarians shall be considered as faculty members if they are given academic rank.

Because of the budget balancing amendment of the Oklahoma Constitution, the Board of Regents of the Regional University System of Oklahoma cannot obligate funds in excess of the unencumbered balance of surplus cash on hand. Consequently, the Board may not obligate itself by binding contracts beyond a current fiscal year for salaries or compensation in any amount to its employees. The Board does, however, recognize the intent to reappoint tenured personnel to the faculties of the institutions under its control within existing positions that are continued the next year when doing so is compatible with the annual budget for that year.

The terms and conditions of every appointment or reappointment shall be stated in writing and be in the possession of both the institution and the faculty member before the appointment is consummated. Tenure shall be granted only by written notification after approval by the Board.

For the purpose of determining probationary employment of faculty members for tenure consideration, sabbatical leave counts as part of the period of probationary employment, but a leave of absence does not.

2.6.2 Schedule for Initial Tenure Evaluation

Faculty members holding academic rank above the level of instructor (assistant professor, associate professor or professor) shall be on probation for five (5) years after the date of first being placed in a tenure track position. Years of experience in any position other than a tenure track position may be used for the probation period only if approved by the university president.

The probationary period begins when the faculty member is first employed in a tenure-track position. Seven (7) years shall be the maximum probationary period for the eligible faculty member to become eligible for tenure. If, at the end of seven (7) years any faculty member has not attained tenure, there will be no renewal of appointment for the faculty member unless a specific recommendation for waiver of policy from the president to the contrary is approved by the Board each and every year thereafter.

Each non-tenured faculty member shall complete a pre-tenure review in his/her fourth year. Under the direction of the dean, the pre-tenure review is to be completed by the last day of November following the completion of the faculty member's first full (August through May academic year) three years of employment. The pre-tenure review shall include the faculty member's mentor, immediate supervisor (department chair or coordinator), and school director, if appropriate. The pre-tenure recommendation shall consider the mentor year performance, and the first three annual Performance Evaluation Reports, and any other pertinent or relevant information and data available at the time of the review. The dean shall file the "Third Year Pre-Tenure Review" form with the Office of Academic Affairs. The committee shall recommend 1) satisfactory progress; 2) unsatisfactory progress with a plan for improvement; or 3) do not renew.

Each department or college/school shall complete the tenure evaluation for its non-tenured faculty members holding rank of assistant professor or above by a date set by the provost/vpaa in early February of the fifth year of

probationary employment. If, during the evaluation process, the departmental tenure review committee or the dean determines that it would be to the advantage of the candidate to delay the tenure evaluation until the sixth year of probationary employment, the tenure review may be so delayed upon notification of the provost/vpaa. The rationale for the delay should be discussed with the candidate, and the candidate should agree to the delay, or else the review process will proceed. Under no circumstances may the initial tenure review be delayed beyond the sixth year of probationary employment.

Regardless of all recommendations within the institution, a faculty member does not have tenure until that person has been granted such by the Board. At any time and, in rare instances, tenure may be recommended in fewer than five years. A person whose original appointment was at the rank of instructor has, at most, seven (7) years of probationary employment in which to obtain tenure. If at the end of seven (7) years any faculty member, including an instructor, has not attained tenure, there will be an automatic non-renewal of contract for the faculty member unless a specific recommendation from the president to the contrary is approved by the Board each year thereafter.

A recommendation for tenure may also come directly from the provost/vpaa or from the president of the university without prior recommendation from the division or department. If the president determines to recommend granting of tenure, he or she will make the recommendation to the Board.

2.6.3 Criteria for Granting Tenure

The candidate must be a full-time regular faculty member and hold academic rank of assistant professor, associate professor, or professor. Candidates must hold an earned doctorate, or other terminal degree. Eligible faculty apply for rank promotion from assistant professor to associate professor concurrent with their application for tenure. Upon rare instances the provost/vpaa may recommend tenure for candidates not holding an earned doctorate, or other terminal degree, if the candidate has demonstrated continued progress toward the terminal degree.

Applications for tenure must demonstrate evidence of continuing excellence in each of the criteria being evaluated.

2.6.3.1 Evaluation Letters

Included in this section shall be evaluation letters from the department chair and the dean for the years since the faculty member was last promoted and summary letters of recommendation from the chair and the dean supporting or not supporting promotion. If the department conducted peer evaluations, these summaries may be included here also.

2.6.3.2 Effective Classroom Teaching

Classroom teaching effectiveness will be judged by use of a variety of instruments, such as self-evaluation, student evaluations, peer evaluation, and supervisory personnel evaluations, including:

1. student evaluation of faculty teaching performance;
2. peer observation (optional);
3. department chair evaluation;
4. dean evaluation;
5. subject matter mastery (course syllabi development or revision, etc.);
6. curriculum development (new program, new course, course design);
7. delivery of instruction (varied learning methodology, library assignments, etc.);
8. student learning (testing and evaluation in relation to course level and objectives, grading standards, grade distribution patterns, student retention rates); and
9. other.

2.6.3.3 Scholarship or Creative Achievement

1. Academic discipline -- Consider: current in literature in the discipline; subscribes to professional publications; attends workshops and seminars; and additional course work since earning degree;
2. Professional involvement -- Consider: attendance at state, regional or national conferences; editing journal; book reviews; editing or reviewing manuscripts for publishers (list organization, where, when - full bibliographical entry).
3. Publications/creative work and presentations -- Consider: books published; chapters published in books; books edited; articles in referred journals; non-referred publications; papers presented or poster presentations at professional meetings and workshops; chairing sessions at professional

meeting/conferences; and other creative work (musical compositions, paintings, sculpture, recitals, etc. for publication, exhibit or demonstration) (list organization, where, when - full bibliographical entry).

4. Applied scholarship -- Consider: supervises student research; formal consulting, technical assistance, or policy analysis producing a written report or other product; program evaluation or grant writing for publics external to the university (i.e., business, non-profit organizations, public schools, citizen organizations, etc.) (list organization, where, when - full bibliographical entry).
5. Scholarship of teaching -- Consider: professional development activities directed towards the improvement of teaching (teaching circles, workshops/conferences in teaching methodology, etc.) (list organization, where, when - full bibliographical entry).
6. Grant proposal submission -- Consider: Principle Investigator (PI) in funded grants that promote scholarship, outreach to members of the community, departmental, school/division, or university goals; PI in proposals submitted but not funded; consultant for grant projects (include funding agency, amount requested or funded, PI status).
7. Other.

2.6.3.4 Contributions to the Institution and Profession

1. University-wide committee assignments -- Consider: active membership on university standing committees; and membership on university ad hoc committees; participation in self-study activities (list).
2. Departmental or school committee assignments -- Consider: active membership on departmental, school or college committees; participates in self-study activities (list).
3. Leadership role -- Consider: serving in leadership positions on university, college, school, or departmental committees; assigned administrative or semi-administrative work (examples).
4. Student advisement -- Consider: maintenance of office hours; student interaction; positive rapport with students; accessibility to students for advisement; knowledge of university policies related to advisement; and advisement load (describe performance).
5. Non-instructional student assistance -- Consider: student club sponsorship or other involvement; and assistance with student placement work (list).
6. Student recruitment -- Consider: assistance with departmental or university student recruitment activities (describe activities).
7. University functions -- Consider: involvement with departmental or university alumni activities; participation in university cultural, intellectual, social, or athletic activities (list).
8. Community service -- Consider: service club membership; and presentations to service clubs or other community organizations consistent with the faculty member's professional credentials (list).
9. Professional contributions -- Consider: professional organization memberships; honors and recognitions from state, national or international professional organizations; offices held in organizations; editing newsletter (list organization, offices held & dates, and newsletter).
10. Other

2.6.3.5 Performance of Non-teaching Semi-administrative or Administrative Duties

1. department chair service;
2. dean service;
3. librarian service;
4. preparation of reports and other official documents-publications; and
5. other

2.5.3.6 Exceptions

Exceptions to criteria for promotion in rank may be recommended by the president upon recommendation from the provost/vpaa.

2.6.4 Procedure for Granting Tenure

Tenure is granted only by the Board. The recommendation to the Board that a faculty member be granted tenure is made by the president. Normally, the president's request that a faculty member be granted tenure will be based on the review procedure described in Sections 2.5.4.3 Portfolio and 2.5.4.4 departmental and school review. The provost/vpaa may request tenure and the president may recommend tenure be granted without a review process.

2.6.4.1 Responsibility for Awareness of Policies, Status, and Timetables

1. Faculty Member. It is the responsibility of each faculty member to know the university policies regarding tenure and applicable institutional timetables for the tenure review process. Each faculty member should know the progress and disposition of his/her tenure application.
2. Department Chair. It is the additional responsibility of each chair to know the tenure status of each member of his/her department and to inform the potential candidates for tenure of the timetable for the review process leading to tenure.
3. Dean. It is the responsibility of the deans to inform the department chair about which members of their respective departments are eligible for tenure and of the timetable for the review process leading to tenure.
4. Provost and Vice President for Academic Affairs. It is the responsibility of the provost/vpaa to inform the faculty, by publication in a timely manner, of the criteria and procedures for granting tenure. It shall also be his/her responsibility to inform the dean about which members of the school are eligible to be considered for tenure and of the timetable for the review process leading to tenure.

2.6.4.2 Initiation of the Review Process

Review of a faculty member for tenure may be initiated by the dean, by the department chair, or by the individual faculty member. In the event that the review is initiated by a person other than the individual faculty member, the affected faculty member shall be so informed at the earliest possible opportunity.

2.6.4.3 Portfolio

The decision to grant or withhold tenure shall be based on an evaluation of the candidate with respect to the criteria for tenure listed above. To assist in arriving at a decision, each candidate for tenure shall have a portfolio prepared.

1. Basic Material. The candidate for tenure, with the assistance of the department chair, shall provide the following documents for the portfolio:
 1. a one-page vita for overview purposes;
 2. copies of the department chair's and dean's annual letters of recommendation for continued employment for all years of the probationary period;
 3. letters of recommendation for tenure from the department chair and dean;
 4. letters of reference (If letters of reference from individuals outside the university are to be included in the review, they should be solicited by the department chair. The names of the individuals from whom the letters are requested may be supplied either by the candidate or by others knowledgeable in the candidate's discipline.);
 5. evidence of effective classroom teaching and reflection statement;
 6. evidence of scholarship or creative achievement and reflection statement;
 7. evidence of contributions to the institution and profession and reflection statement; and
 8. additional evidence, if it is appropriate, to document that the candidate fulfills the criteria for tenure.
2. Additional Materials. At each stage of the review process, described in Section 2.5.4.4 Departmental and School Review, the portfolio will be updated with the following material:
 1. the addition of new information, if any, which was used in making a recommendation at that stage; and
 2. the recommendation that was made.

2.6.4.4 Departmental and School Review

All steps described below shall be carried out in accordance with a timetable to be published at the beginning of each academic year by the office of the provost/vpaa.

2.6.4.4.1 Faculty Review Committee

1. Department with at least five (5) tenured members: When a faculty member is to be considered for tenure, the chair of the department shall call a meeting of the tenured faculty members of the department for a discussion of the case. These faculty members, including the chair, if tenured, shall constitute the department review committee. If the department chair is not tenured, he/she shall be an ex officio member of the committee, but shall not have a vote. The faculty member's contributions to the mission of the university shall be reviewed and evaluated by the tenured members of the department and a poll by secret ballot will be taken to determine whether a recommendation for the

- granting of tenure will be made.
2. Department with less than five tenured members:
 - a) In the event that the number of tenured faculty members in a department is fewer than five (5), the actual tenured members in that department and other faculty, selected as indicated below, shall act as an ad hoc group, on request of the affected faculty member, to recommend the granting or withholding of tenure.
 - b) If an ad hoc committee is requested, it shall be composed of five (5) voting members.
 - c) The chair of the affected faculty member's department shall act as chair of the committee. If tenured, the chair shall be a voting member. If not tenured, the chair shall act as an ex officio member and not vote.
 - d) In the event that the department is part of a larger academic unit (college/school), with at least five tenured members, then the committee members from outside the candidate's department shall be drawn from the larger academic administrative unit of which the candidate is a member. If this is not the case, the committee members from outside the candidate's department shall be taken from the faculty at large.
 - e) The committee members will be recommended by the Faculty Senate and appointed by the provost/vpaa.
 - f) After the appointment, and prior to the committee's notification of assignment, the candidate will have the option to delete one member from the committee. If the candidate elects to exercise this option, a new member will be selected by the same procedure used to select the original committee.

2.6.4.4.2 Basis for Review

1. This review may be conducted in a manner that allows for input from non-tenured colleagues, students, alumni, and administrative information from department chairs.
2. The committee chair shall be responsible for soliciting information from non-tenured colleagues, students, and alumni.
3. This information shall be added to the candidate's file.

2.6.4.4.3 Method of Reaching a Decision

1. A secret ballot shall be taken on the granting of tenure or withholding of tenure.
2. A simple majority shall prevail.
3. The committee shall add, to the documentation file, a statement of its decision.
4. The committee may ask the candidate or other persons to appear before it to clarify information provided to the committee. However, all discussions and voting procedures shall be conducted with only the committee members and a recording secretary, if requested, present.

2.6.4.4.4 Recommendation of the Department Chair

1. The department chair will forward the entire documentation file, including the results of the vote and a personal recommendation to the dean. If the school is the smallest academic unit, the file shall be forwarded directly to the provost. The file shall be forwarded regardless of the recommendations that were made.
2. The department chair shall inform the candidate, in writing, within ten calendar days after a decision is reached of the committee's recommendation and of his/her own personal recommendation. The results of the committee's balloting shall simply be reported as a recommendation for or against the granting of tenure.

2.6.4.4.5 Recommendation of the Dean

1. The dean shall add his/her personal recommendation to the candidate's file and forward the file to the provost/vpaa.
2. The file shall be forwarded regardless of whether the recommendation is for or against the granting of tenure.
3. The candidate shall be informed, in writing, within ten calendar days of the time the file is forwarded, whether the recommendation is for or against the granting of tenure.

2.6.4.4.6 Recommendation of the Provost and Vice President for Academic Affairs

The provost/vpaa shall review all applications, evaluations, and recommendations. The recommendation of the provost/vpaa and vice president regarding those persons who shall receive tenure shall be added to the candidate's file. All files shall then be forwarded to the president. Each applicant for tenure shall receive written notification of the actions and recommendations of the provost/vpaa and vice president by a date established by the provost/vpaa.

2.6.4.4.7 Recommendation of the President

Acting on the basis of information available to him/her, the president shall submit his/her recommendation for tenure to the Board. When the Board has acted, the faculty member shall be notified in writing by the president that tenure is granted. All portfolios will be returned to the candidates.

2.6.5 Procedure for Post-tenure Review

All tenured faculty members of the East Central University faculty will have their tenure reviewed at least every three years. For tenured faculty members whose duties are primarily instructional, the provost/vpaa will appoint a tenure review committee according to the guidelines that follow. For those tenured faculty members whose duties are basically administrative or non-instructional, the provost/vpaa will refer the review to the appropriate supervisor.

2.6.5.1 Selection for Review

1. Faculty members who have not been tenured or who have been tenured less than three years will have their review in their third year of tenure.
2. The remaining tenured faculty members will be reviewed each year.
3. Tenured faculty who resign or retire at the end of the academic year may be exempt if their letter of intent to retire/resign is submitted to the vpaa/provost prior to arranging the post-tenure review.

2.6.5.2 Review Committee Structure

1. The committee shall consist of five tenured faculty members from the department of the one reviewed when possible. The members will be selected on a rotation basis beginning with the person with the greatest number of years of tenure.
2. If a department has less than five tenured faculty members, then the remaining members will be selected from the list of tenured faculty members in the school/college of the one reviewed. The selection will be made on a rotation basis beginning with the person with the greatest number of years of tenure. If there are not enough tenured members of the department or school to seat a committee, the Faculty Council will be asked to recommend committee members from among the tenured faculty.
3. The committee shall meet and select a chair of the tenure review committee, from among the school faculty on the committee.
4. After the selection of committee members but prior to the committee's notification of assignment, the faculty member being reviewed will be notified of the committee members and has the option to delete one member. If the faculty member exercises this option, a new committee member will be selected by the regular procedure.

2.6.5.3 Procedure for Instructional Faculty Members

1. Committee selection will be made by the procedure described above.
2. The provost/vpaa will notify the committee of their appointment.
3. The chair of the reviewing committee will submit a written narrative recommendation to the provost/vpaa no later than December 1. (The recommendation should be signed by each member of the reviewing committee.)
4. The department chair and dean will provide separate recommendations to the provost/vpaa no later than December 1.
5. The provost/vpaa will report the above recommendations as well as his/her recommendation to the president.
6. The president will see that the faculty member obtains a copy of the recommendation of the committee. Furthermore, in case of an unsatisfactory recommendation, the faculty member will have an opportunity to meet with the committee if he so desires, to respond to their recommendation. Following the meeting of the committee and the person reviewed, the president will receive any further recommendations and make the final decision of the review.
7. If the initial three-year review is unsatisfactory, the faculty member will be reviewed by the same

- procedure the next year.
8. If the second review is unsatisfactory, it will be grounds for the faculty member's dismissal at the end of that contract year.
 9. The committee shall obtain the information or instruments listed below to be used in their evaluation.
 1. Copies of the annual Faculty Performance Evaluation document for the period being evaluated which includes student evaluation of teaching performance ratings.
 2. Department Surveys on Professional Growth, Reliability and Integrity, compiled by each member of the department, including the department chair.
 10. The committee may obtain the information or instruments listed below to be used in their evaluation.
 1. Additional evaluation comments written in narrative form and signed by the respective evaluator, either from the department chair or individual department members.
 2. Additional information from any or all committee members.
 11. The faculty member being reviewed has the option of submitting a written statement on his/her behalf.
 12. The committee will review the results of the surveys and other information that has been collected and determine its recommendation by a majority vote.
 13. The committee will file with the provost/vpaa a narrative report, explaining the basis (the evidence reviewed and explanation for the conclusion) for their decision.

2.7 Faculty Separation

2.7.1 Dismissal or Suspension of Tenured Faculty

2.7.1.1 Causes for Dismissal of Tenured Faculty

No tenured member of the faculty shall have his/her appointment terminated in violation of the principles of tenure adopted by the Board except for one or more of the following causes:

1. Bona fide lack of need of one's services in the university.
2. Bona fide necessity for financial retrenchment.
3. Conviction of a felony.
4. Moral turpitude.
5. Insubordination.
6. Professional incompetence or dishonesty.
7. Substantial or repeated failure to fulfill professional duties or responsibilities or substantial or repeated failure to adhere to Board or university policies.
8. Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities.
9. An act or acts which demonstrate unfitness to be a member of the faculty.
10. Falsification of academic credentials.
11. Two consecutive unsatisfactory post-tenure performance evaluations.

2.7.1.2 Suspension of Tenured Faculty

The university president shall have the authority to suspend any faculty member formally accused of 3, 4, 5, 6, 7, 8, 9, 10, 11 (listed in section 2.7.1.1). The president shall notify the Board of the terms and conditions of the suspension. A faculty member should be suspended only if harm to the faculty or students is possible or disruption of proper conditions for teaching and learning are threatened by the faculty member's continuance. During the suspension period, compensation for the suspended person should be continued. If during the suspension period the faculty member is convicted of a felony or a crime involving moral turpitude, the institution shall not continue compensation.

2.7.1.3 Dismissal of Tenured Faculty Member for Cause

Dismissal proceedings shall begin with a conference between the faculty member and the appropriate academic officer. If this conference does not result in mutual agreement, the academic officer will submit a written recommendation with rationale to the faculty member and the provost/vpaa.

Within fourteen (14) business days, the provost/vpaa should have a conference with the faculty member. This conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of

Eastern Oklahoma State College

Tenure Policy
Eastern Oklahoma State College

Tenure

1. Procedure for Application for Tenure:

a. Eligibility for Tenure:

All faculty hires are considered probationary for four years. All faculty hires must fulfill the requirements for hiring according to the Faculty Qualification Requirements. All persons who have completed the probationary period are eligible for tenure upon the recommendation of their Division Dean. In January of the year of recommendation for tenure, the Division Dean will work with eligible faculty to prepare application for tenure review. The application will be submitted to the Vice President for Academic Affairs by March 1. The tenure committee will complete their review and recommendation by April 1.

In order to be tenured, the faculty member must meet **all** of the following criteria:

- i. Hold a minimum of a Master's degree
- ii. Demonstrate professional excellence in classroom instruction
- iii. Be fully qualified in discipline(s) taught (See the Faculty Qualification Requirements section for details)
- iv. Demonstrate a record of institutional and community service. Application of professional skills to service to the community is not required but may be considered
- v. Endeavor to maintain professional excellence
- vi. Implement the stated mission of Eastern Oklahoma State College

Each division is responsible for developing any additional criteria against which the faculty member is to be evaluated. The Division Dean will submit the additional criteria to the Vice President for Academic Affairs for review.

a. The standardized application will include the following:

- i. Faculty Performance Appraisals (by Division Dean) for three years
- ii. Description of Teaching Assignments (including, but not limited to, description of class load, kinds of classes: ITV, on-line, traveling to satellite campuses, etc.)
- iii. Activity Update forms for three previous years
- iv. Additional information: any additional information that applicant would like to submit to complete the picture of that applicant's value to the institution, ie: Letters of Recommendation, description of community and/or campus involvement, scholarly achievements, etc.
- v. Any additional information the Division requires specific to the mission of that Division

The application will be viewed by the Tenure Committee. The Vice President for Academic Affairs will be responsible for selecting committee members through a random drawing of tenured faculty. The committee will include two members of the applicant's Division* and one representative from each of the other Divisions on campus. The candidate's application will be provided in advance of the meeting of

tenured faculty. At this meeting, a chair will be elected to facilitate the interview of the applicant and conduct the vote by secret ballot. All members of the committee must vote. The chair of the tenure committee will forward the results of the vote to the VPAA. A majority of five of the seven members will be required for the granting of tenure. If the committee does not recommend tenure be granted, the Division Dean will meet with the applicant in personal conference, offering a plan for improvement. When the committee does not recommend tenure be granted, the applicant will return to probationary status and may reapply within two years.

**If applicant's Division does not have the required number of tenured faculty members, VPAA will choose the remaining members of the tenure committee through random drawing of other tenured faculty members in other Divisions.*

2. Procedure for Removal of Tenure:

No member of the tenured faculty will have his/her appointment dismissed in violation of the principles of tenure adopted by the Board of Regents except for one or more of the following:

a. Personal conduct that impairs the individual's fulfillment of his/her institutional responsibilities, including, but not limited to, the following:

i. Theft of college property

ii. Threatening or striking a college employee or student

Eastern Oklahoma State College Faculty Handbook Approved by the Eastern Board of Regents June 4, 2015 *Readopted by the EOSC Faculty Council 9-15-15 for 2015-16* [36]

iii. Falsifying records

iv. A documented pattern of insubordination

v. Conviction of a felony

vi. Pattern of poor academic performance as evidenced by written evaluation by the Division Dean

vii. Willful violation of publicized college policy

b. Bona fide lack of need for one's services as determined by the Vice President for Academic Affairs and President

c. Bona fide necessity for financial retrenchment

- iii. Falsifying records
- iv. A documented pattern of insubordination
- v. Conviction of a felony
- vi. Pattern of poor academic performance as evidenced by written evaluation by the Division Dean
- vii. Willful violation of publicized college policy
- b. Bona fide lack of need for one's services as determined by the Vice President for Academic Affairs and President
- c. Bona fide necessity for financial retrenchment

Except in cases determined to be especially severe, the faculty member must have had written warning and been given a reasonable opportunity to correct the problem before action for removal of tenure and/or dismissal may proceed. That written Plan for Improvement must give the tenured faculty clear goals and a timeline for accomplishing those goals.

Recommendations for dismissal must go through appropriate administrative channels to a three-member committee from the Board of Regents for final approval. The three-member committee will be chosen at random from the current board members by the Chairman of the Board of Regents. Thorough documentation of all steps taken and the results of previous action must accompany the recommendation for removal of tenure. If the Division Dean, Vice President for Academic Affairs, or President believes that tenure status should be removed from any tenured faculty after the comprehensive Plan for Improvement has been completed, the Vice President for Academic Affairs will call a meeting of a committee of tenured faculty from the various divisions to hear the facts showing cause for removal of tenure.

The Vice President for Academic Affairs will be responsible for selecting committee members through a random drawing of tenured faculty. The committee will include two members of the applicant's Division* and one representative from each of the other Divisions on campus. All will be chosen through a random lottery drawing held by the Vice President for Academic Affairs.

The presentation of the case against the faculty member should be made to the committee by the Vice President for Academic Affairs. Following the presentation of the facts in evidence, the faculty member shall have the opportunity to present his/her position and may have an advocate present who may speak.

After this hearing, a vote will be taken by secret ballot to recommend either removal or continuation of tenure. A majority of five of the seven committee members will be required to recommend either removal or continuation of tenure. The VPAA will submit the recommendation to the President.

In cases in which the recommendation is tenure removal of a tenured faculty member, the faculty member must be notified in writing within ten days of the recommendation by the Office of the President. Proof of receipt of notification is required. The President will submit the recommendation of the tenured faculty committee along with his personal recommendation to the Board of Regents.

**If applicant's Division does not have the required number of tenured faculty members, VPAA will choose the remaining members of the tenure committee through random drawing of other tenured faculty members in other Divisions.*

3. Action from the Board of Regents:

At the Board of Regents three-member committee meeting, the President will recommend removal of tenure and/or dismissal. Prior to committee action, the faculty member may request to be heard. The faculty member may be represented by counsel but must speak for himself/herself.

After due consideration of the evidence presented, the Board of Regents three-member committee ensure procedural policy has been followed and render a decision for the removal of tenure. The Board of Regents three-member committee will make the final decision. The faculty member shall be sent notice of the decision of the Board of Regents three-member committee by certified mail, restricted delivery, return receipt requested, or by personal delivery within 10 days of the decision.

4. Appeals to the Board of Regents:

A tenured faculty member who receives a negative recommendation may appeal the Board of Regents' decision on two grounds only:

1. Procedural Error: allegation of procedural errors of such grievous nature that a reasonable person would conclude that the candidate was not given full and fair consideration.
2. Discrimination: allegation of discrimination on the grounds of age, race, gender, ethnicity, creed, exercise of Constitutional rights (such as First Amendment rights) or other legally and constitutionally protected status or rights.

The faculty member wishing to make an appeal must submit the appeal in writing to the Secretary of the Board of Regents within 10 working days of notification of removal of tenure. The Secretary will notify the Chair of the Board of Regents. Appeals not filed by this deadline will be automatically rejected unless the appellant can prove to the satisfaction of the Chair of the Board of Regents that factors beyond the appellants control made it unreasonable to file within the 10 days allotted.

In the absence of reasonable cause to believe that allegations related to procedure and/or discrimination have merit the Board of Regents will not consider the appeal. The faculty member must be notified within 10 days of the Board accepting or rejecting the appeal.

In the event the appeal is accepted, the Chairman of the Board of Regents will appoint a committee of at least three members of the Board to hear the appeal. The appeals committee will be made up of different board members than those who were appointed to take initial action on the repeal of tenure. The committee will set a hearing time at which time the candidate will be given the opportunity to state his or her appeal; the President will have the opportunity to respond. Either party may designate counsel or others to state all or part of their cases. The appointed committee of the Board may require either or both parties to produce documents, and the committee may require any employee of the college to appear. The appellant may call witnesses, but the Board has no power to compel their attendance. The committee will confine the hearing to arguments to determine if the negative tenure recommendation flowed from procedural or discriminatory error. Any argument not germane to such allegation(s) will be ruled out of order.

The committee will make its recommendation at the next scheduled Board of Regents meeting. If the Board finds no substantive procedural error or discrimination, the matter is terminated. If the Board finds procedural or discriminatory error, it does not necessarily result in reinstatement of tenure and/or continued employment. The Board may adopt any remedy it deems appropriate. The Board's decision is final and non-appealable.

Langston University

LANGSTON UNIVERSITY

**FACULTY
HANDBOOK**

Langston – Oklahoma City – Tulsa

Approved March 2009

Certain guidelines shall be followed for termination of employment due to the discontinuance of or change in an educational program:

- Untenured faculty should be terminated before tenured faculty.
- Academic rank should be respected.
- Seniority within academic rank should be respected.
- Affirmative Action guidelines should be observed.
- Tenure, academic rank, and seniority shall be considered within academic departments or major elements thereof.

In those instances where termination is recommended, the terminated faculty member will be given a statement of information upon which the decision was based. The written notice of termination given to the faculty member shall state the effective date of termination. Efforts should be made to give as much advance notice as possible following the decision to change or delete the program. Employment in some other part of the University should be offered whenever reasonably possible.

In the absence of unusual circumstances, in any case of termination of tenured faculty because of a discontinuance of or change in an educational program, the position of the terminated faculty member may not be filled for a period of two (2) years unless and until the released faculty member has been offered reinstatement and a reasonable period of time (usually 30 days) to accept it.

Section 4

Promotion and Tenure Guidelines

Revised 2007

4.1

Introduction

The promotion and tenure process at Langston University is representative of other regional universities in the Oklahoma state system of higher education. Faculty who demonstrate a sustained record of professional competence in the areas of teaching, scholarly/creative productivity, and professional service are eligible to be considered for promotion to higher academic rank and/or tenure. Each faculty member is personally responsible for monitoring his/her growth and achievement to assure that s/he meets the terms and conditions for consideration of possible attainment of successive higher academic rank. Promotion is neither automatic nor the product of any set formula, i.e. years of service. Tenure is earned through excellence in teaching, scholarly/creative productivity, and professional service. Policies and procedures for promotion and/or tenure at Langston University are set forth in the following sections.

To promote professionalism, every candidate for promotion and/or tenure must demonstrate meritorious achievement in two of the three mission areas of the University—teaching, scholarship, and extension/service/outreach. Such performance constitutes a minimum level that permits consideration for reappointment, promotion, or tenure; meritorious performance in two areas does not guarantee a favorable employment action by the University.

It is the policy of the University in the reappointment of faculty members, and especially in the case of reappointments granting tenure, that demonstrated high quality performance in assigned responsibilities be documented. Basic competence in itself is not sufficient to justify reappointment, as that is a prerequisite for the initial appointment.

4.2

Statement of Purpose

The purpose of the faculty promotion and tenure document is threefold: (1) To describe the eligibility criteria for promotion and for tenure; (2) To outline the process which the institution employs for evaluating candidates for promotion and tenure; and (3) To provide a guideline for faculty members regarding the procedure for applying for promotion and/or tenure.

4.3

Academic Appointments

4.4

Probationary Tenure Track Appointments

Faculty may be appointed to a probationary tenure track position. Tenure-track appointments are restricted to those individuals who are committed to meeting the eligibility criteria for tenure. All tenure-track appointments are probationary. If the faculty member meets the responsibilities of teaching, scholarly/creative productivity, and service as set forth in the annual professional development plan, the individual may be eligible to be reappointed annually during the probationary period. The faculty member may elect within the first three years of service to be released from the tenure-track position and be placed in a temporary non-tenure track position. A faculty member who accepts a tenure-track position extending beyond the first three years of service must proceed for tenure review in the sixth year of service.

4.5

Temporary Non-Tenure Track Appointments

Temporary appointments are those made for a period of one year or less. If the faculty member meets the responsibilities of teaching, scholarly/creative productivity, and service as set forth in the annual professional development plan, the individual may be eligible to be reappointed

annually if the university has a position available. Faculty with temporary non-tenure appointments do not accrue time toward tenure. Faculty with a temporary non-tenure appointment may apply for a probationary tenure track position if available. Time in service as a temporary non-tenure faculty is not applied to the probationary tenure appointment and requires the individual to begin the tenure process at the time the appointment change is made.

4.6

Academic Rank and Titles

Full-time faculty are those persons who teach a full credit load each semester. The credit load may vary according to the discipline. However, according to the Oklahoma State Regents for Higher Education full-time faculty (1.0 FTE) teaching in the fall and spring semesters will teach a total of 27 credit hours each year or 12-15 credit hours each semester. Part-time faculty are those individuals who teach less than the full credit load per semester and are designated as a percentage of 1.0 FTE, for example .50 FTE or .25 FTE. Faculty may be appointed to the rank of Instructor, Assistant Professor, Associate Professor, or Professor. Adjunct faculty teach one or two courses on an as-needed basis.

4.7

Designation of Faculty Status

In addition to member of the faculty whose primary responsibility is teaching, other University employees are granted faculty status. Librarians and research and extension scientists are designated as members of the faculty. Administrators with teaching experience may have faculty status as to their non-administrative roles. Faculty status may also be granted to other individuals whose primary responsibility is not teaching in accordance with the standard procedures prepared by the Vice President for Academic Affairs, after consultation with the School Deans and after approval by the President of the University.

4.8

Determination of Appropriate Academic Credentials

A prerequisite appointment for initial appointment to a faculty position is the attainment of a graduate or professional degree related to the area of academic focus for the individual. (For example, A Master of Library Science would be viewed as a terminal degree for that field). Doctoral or terminal degrees are preferred. A Master's degree is acceptable for initial appointment to the faculty ranks of Instructor or Assistant Professor. Appointment or promotion to the faculty rank of Associate Professor and higher requires the faculty member to possess a doctorate or terminal degree in the area of academic focus for the individual.

Faculty members with the following academic credentials hold a doctorate in an area of specialization: Doctor of Philosophy, Doctor of Education, Doctor of Musical Arts, Doctor of

Business Administration, Juris Doctor, Doctor of Medicine, Doctor of Physical Therapy, and Doctor of Nursing.

Only earned degrees from nationally or regionally accredited or internationally recognized institutions are considered when determining appointments, promotion, tenure, or other personnel action.

4.9

Instructor

The Instructor rank is a temporary faculty appointment. The appointment is eligible for renewal if the faculty member meets the performance requirements. There is no obligation on the part of the faculty member or the university to continue employment beyond the stipulated period. Persons appointed as instructors are not eligible for tenure consideration. The years of service as an instructor are not counted toward tenure. Appointments to the rank of Instructor are for one year only and there is no expectation of future employment by the University conferred on such positions.

4.10

Assistant Professor

Assistant Professors can either be on a probationary tenure track or on a temporary non-tenure track appointment. The decision as to whether a position is tenure track or non-tenure track in nature is made at the time of recruitment of the faculty member and will be clearly stated in the letter of offer to a prospective faculty member. In either case, the faculty member is evaluated annually and is eligible for consideration for reappointment providing the faculty member meets the professional standards set by the department, the school, and the university. Appointments to the rank of Assistant Professor require a Master's degree in the field/discipline in which the individual is appointed to teach. Faculty with probationary tenure track appointments shall demonstrate that they are actively working toward satisfying the requirement for tenure. Years of service at the rank of Assistant Professor are counted toward tenure for individuals with probationary tenure track appointments.

4.11

Associate Professor

The Associate Professor is of high academic rank. Associate Professors shall hold an earned doctorate degree or its equivalent in the academic field/discipline or in a suitably related area in which the individual will teach. An Associate Professor shall have demonstrated outstanding ability in teaching, scholarly/creative productivity, and service.

Associate Professors can either have a probationary tenure track or a temporary non-tenure track appointment. The decision as to whether a position is tenure track or non-tenure track in nature is

made at the time of recruitment of the faculty member and will be clearly stated in the letter of offer to a prospective faculty member. In either case, the faculty member is evaluated annually and is eligible for consideration for reappointment providing the faculty member meets the professional standards set by the department, the school, and the university. Faculty with probationary tenure track appointments shall demonstrate they are actively working toward satisfying the requirement for tenure. Years of service at the rank of assistant professor are counted toward tenure.

4.12

Professor

Appointment or promotion to the rank of Professor implies professional recognition for excellence in his/her field of specialization in the areas of teaching, scholarly/creative productivity, and service. A Professor shall hold an earned doctorate degree or equivalent in a teaching or research specialty. Advancing to the rank of Professor can occur whether the faculty is in a tenure track or non-tenure track appointment. In either case the faculty member is evaluated annually and provided with continued employment providing the faculty member meets the professional standards set by the department, the school, and the university. Tenured Professors have an expectation of continued employment, absent demonstrated cause for termination, once tenured status is approved by the Board of regents.

4.13

Part-time faculty

Part-time faculty appointments are for one semester at a time, end automatically at the end of each semester unless affirmatively renewed by the employing school, and there is no guarantee or expectation of reappointment to a part-time appointment.

4.14

Adjunct faculty

Adjunct faculty are not eligible for promotion or tenure. Adjunct faculty who are later appointed to probationary tenure-track or temporary appointments may not use time in service as an adjunct faculty member for either promotion or tenure.

4.15

Visiting Faculty

A visiting faculty who holds the academic rank of assistant professor or higher at another institution of higher education and is appointed to conduct teaching, research and/or other duties at Langston University for a limited time. The university recognizes his/her academic standing

and accords the visiting professor the privileges of tenured or tenure-eligible faculty except the right of participation in university governance.

4.16

Laboratory Assistant

Appointment as a laboratory assistant is provided to an individual who is responsible for supervision of student laboratory learning experiences: research, computer, clinical patient management, internships, and other activities requiring student supervision. Persons employed as laboratory assistants must possess specific technical expertise and skills. Laboratory assistants must function under the supervision of a faculty member. Appointment to this position is on an as-needed basis. There is no obligation on the part of the university or the individual to continue employment beyond the designated work period. Laboratory assistants are not eligible for participation in university governance.

4.17

Graduate Assistant

Appointment as a graduate assistant is provided to a graduate student who is assigned specific duties during the academic semester. The graduate student must possess the qualifications determined by the chairperson of the department and the dean of the school in which the graduate student is assigned responsibilities. The graduate assistant appointment carries no university commitment to reappointment beyond the specific time in the notice of appointment. Graduate assistants are not eligible for participation in university governance.

4.18

Graduate Research Assistant

Appointment as a graduate research assistant is provided to a graduate student assigned to one or more faculty for purposes of assisting in the conducting of research at Langston University. The graduate research assistant must possess the qualifications determined by the chairperson of the department and the dean of the school in which the graduate student is assigned responsibilities. The graduate research assistant appointment carries no university commitment to reappointment beyond the specific time in the notice of appointment. Graduate research assistants are not eligible for participation in university governance.

4.19

Emeritus Appointment

Emeritus faculty status is provided to faculty who possess a highly distinguished history of long-time service to the university. Members of the faculty with the rank of associate professor or

professor and/or with ten (10) years of service to the university are eligible for appointment to this rank. Emeritus appointments shall be strictly honorary and without stipend.

4.20

The Tenure Process

A faculty member with a probationary tenure track appointment is prepared to meet the teaching, scholarly/creativity productivity, and professional service commensurate with achieving tenure. In the sixth year of service, the faculty member must either prepare to successfully apply for tenure and promotion or terminate the faculty position at the end of the academic year. Tenure is provided to those faculty members with the rank of associate professor or higher. Therefore, in the years preceding the sixth year, the faculty member must meet the conditions for promotion to associate professor by the end of the sixth year.

Tenure is the assurance of a continuing full-time faculty appointment at the university with the following provisions: (1) The discipline or program continues to be offered at the university, (2) The faculty uphold the professional standards for the discipline and the university (see Section 4.21 Grounds for Dismissal), and (3) The faculty demonstrates continued dedication to teaching, research, scholarly/creative productivity, and service.

To promote professionalism, every candidate for promotion and/or tenure must demonstrate meritorious achievement in two of the three mission areas of the University—teaching, scholarship, and extension/service/outreach. Such performance constitutes a minimum level that permits consideration for reappointment, promotion, or tenure; meritorious performance in two areas does not guarantee a favorable employment action.

It is the policy of the University in the reappointment of the faculty members, and especially in the case of reappointments granting tenure, that demonstrated high quality performance in assigned responsibilities be documented. Basic competence in itself is not sufficient to justify reappointment, as that is a prerequisite for the initial appointment.

Tenure, in particular, is a major undertaking by the University and shall not be granted unless the faculty member has demonstrated by consistent performance that the academic department will benefit from making a career-long commitment to the faculty member.

The candidate seeking tenure must identify a primary area in which the individual has brought distinction to students, department, school, university, profession and self. In addition, the candidate must document above-average performance in supporting areas.

A candidate might select teaching as the area of distinction—excellence in teaching with research and service as supporting areas that are evaluated as above average. Service to the university is a requirement for tenure. The candidate must demonstrate a record of discernable commitment to Langston University assisting the students, faculty, and staff to fulfill the mission of the university.

Faculty who fail to meet the requirements for tenure at the end of the sixth year will receive a terminal contract for the seventh and final year of service. The faculty member who fails to meet the tenure timeline and is terminated from the probationary tenure-track position may apply to the university, for a temporary non-tenure position if there is an open faculty position.

4.21

Grounds for Dismissal

Dismissals must be based upon reasonable cause related to either a serious lack of satisfactory performance or the lack of fitness and suitability to continue in the professional capacity of a faculty member. Dismissal proceedings may be initiated for reasons such as:

- (a) incompetence in performing or in meeting appropriately assigned duties;
- (b) neglect of duty as indicated by failure or continued failure to sufficiently perform in accordance with the applicable terms and conditions of employment;
- (c) serious and apparently intentional misuse of University property and resources;
- (d) academic dishonesty;
- (e) acts or moral turpitude;
- (f) deliberate and grave violation of the rights and freedoms of fellow faculty members, administrators, or students;
- (g) willful obstruction or disruption or attempts to obstruct or disrupt the normal operation or functions of the University; or advising or procuring, or actively encouraging others to do so;
- (h) serious violations of law that are admitted or proved before a competent court, preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities; or violations of a court order, when such order relates to the faculty member's proper performance of professional responsibilities; or
- (i) other improper conduct which is seriously injurious to the best interests of the University or its components.

4.22

Administrative Suspensions

An administrative suspension is a temporary removal for a specific time period of all or any portion of a faculty member's assigned duties for purposes of protecting the best interests of the University and its components and/or the safety and well-being of the persons affiliated with it, including the individual suspended. When deemed appropriate, a suspension may include restrictions on the use of the University facilities or resources and may be imposed during the course of an authorized dismissal procedure or authorized sanction appeal. Suspensions shall normally not exceed one calendar year. During a suspension there shall be no reduction of salary or other benefits.

4.23

Procedures for Suspensions

Supervisory academic administrators may summarily suspend a faculty member for up to 72 hours when it is judged that the safety and well-being of the individual or others, or the best interests of the University are threatened.

A suspension may extend beyond 72 hours if approved by the President or designated representative. A recommendation for suspension of more than 72 hours shall be forwarded to the President by the appropriate Dean and Vice President for Academic Affairs with justification regarding the need for the proposed action. The President, if concurring, will direct the extended suspension. The faculty member, appropriate Dean, and the unit administrator shall be informed in writing of the length, terms, and conditions of any implemented suspensions.

Formal Grievance Procedures do not apply to suspension actions unless the suspension lasts more than six months or the Vice President for Academic Affairs finds it would be in the best interest of the University to provide extraordinary due process.

4.24

Criteria for Tenure

Tenure is restricted to full-time faculty with probationary tenure track appointments who have an earned doctorate or equivalent education at the rank of Associate Professor or higher. Instructors are not tenure eligible. On rare occasions, an individual hired as a distinguished faculty at the Associate or Professor rank may be granted tenure at the time of appointment to the university. Tenure does not apply to the administrative positions or titles.

Faculty who are granted tenure or tenure track status must be assigned to the department or area in the discipline in which they hold the terminal degree. A limit of 60% in each department is reserved for tenure-eligible faculty appointments. Probationary tenure track appointments cannot be offered if there is no tenure track position available. A temporary faculty member with a record of excellence in teaching, research, scholarly/creative productivity, and service can move from a temporary non-tenure track position to a probationary tenure track position when a position becomes available and the Dean approves the change in faculty appointment status.

Tenure shall only be granted to those faculty members whose professional profiles indicate that they will continue to serve with distinction in their appointed roles. Once appointed to a probationary tenure-track position, a faculty member has six (6) years to demonstrate that she or he has met the criteria for promotion and tenure.

Yearly assessment of the faculty member's performance in the areas of teaching, research, scholarly/creative performance, and service must be above average. Faculty members must meet the minimum performance expectation in order to be considered for reappointment to the university. Such performance constitutes a minimum level that permits consideration for reappointment, but does not guarantee a favorable employment action by the University.

Faculty members with probationary tenure-track appointments will be evaluated annually through the University faculty performance appraisal process and will be reviewed at the end of three years to evaluate progress towards meeting the criteria for tenure. A faculty member who is performing above average but has not developed a pathway for excellence and distinction required for tenure may be offered a temporary non-tenure track appointment. A faculty member who proceeds with a probationary tenure track appointment beyond the third year of service cannot be offered a temporary appointment and must proceed with meeting the criteria for promotion and tenure. If within the sixth year tenure is not granted, the faculty member will receive a terminal contract in the seventh year of service.

Academic Appointments

Academic appointments normally coincide with the beginning of the academic year. For faculty appointed after this date but before January 1, the period of probation for tenure consideration or for renewal of appointment will commence at the beginning of the academic year. The probation period for faculty appointed after January 1 will commence at the beginning of the following academic year. Except for extenuating circumstances the period of probation for tenure consideration shall never exceed a total of seven continuous appointments with the University.

It shall be the personal responsibility of the faculty member to demonstrate that he or she meets the applicable qualifications for reappointment, tenure, and promotion.

Annual Review of Faculty

Review of faculty activities and accomplishments shall be conducted by the unit administrator every year for every faculty member, regardless of rank or tenure status. A written report of activities and accomplishments shall be submitted by the faculty member. This report shall include a work and professional development plan. Unit administrators are expected to encourage the professional development of each faculty member.

Unit administrators shall familiarize each faculty member with the performance standards established by the faculty members of the unit. The unit administrator shall endeavor to provide an environment conducive to the achievement of the expected performance. The unit administrator shall submit a written evaluation that gives detailed descriptions of the faculty member's accomplishments and deficiencies. The faculty member's written report along with the unit administrator's evaluation shall serve as the supporting documentation for any merit pay raise or other salary adjustment. The completed annual review documentation shall be placed into the permanent record of the faculty member and shall be added to an accumulation of performance documents that shall be used in any further review. A complete set of annual review documents shall be available for any peer review committee evaluation, particularly at the times of reappointment, tenure and promotion.

Letter of Offer

A statement of the proposed basic terms and conditions of every appointment shall be available in writing and be in the possession of both Langston University and the prospective faculty member

before the appointment is made. Any other authorized agreements pertaining to conditions of appointments, reappointments, promotion, and tenure shall be part of this written statement.

No offer is binding on the University, however, until a formal recommendation has been presented to and officially approved by the governing Board of Regents in accord with the policies of the Board.

Tenure is a major undertaking and shall not be granted unless the faculty member has demonstrated by consistent performance that the academic department will benefit from making a career-long commitment to the faculty member.

Initial appointments to tenure track positions shall be for one year. Each such faculty member shall be appraised annually. These appointments may be renewed on an annual basis on a time period not to exceed six years.

Initial appointment to the rank of Professor shall confer tenure unless a probationary period, not to exceed three years, is specified at the time of appointment.

Academic tenure is not affected by change in administrative or other active status. Appointment to an administrative position or other position shall not confer tenure in that position.

Extension of Probationary Period

A period of appointment and the probationary period of a faculty member may be extended up to three years for extenuating circumstances, e.g. a leave of absence without pay, and extended sick leave, significant changes in published criteria for tenure or significant changes in job description associated with transfer or promotion. Upon written request by the faculty member and recommendation by the unit administrator and Dean of the School, such an extension may be granted upon approval of the President and the Board of Regents.

Non-reappointment

Non-renewal of a temporary or non-tenured appointment shall not be regarded as a termination.

4.25

Credit Towards Tenure From Another University

A faculty member, with a probationary tenure track appointment, who has a record of above average teaching, research, scholarly/creative productivity, and service at the rank of Assistant Professor or higher, may apply no more than three years of prior service towards meeting the tenure-eligible requirement of six years of probationary service. The faculty member shall elect, at the time of the initial appointment, to either begin the six-year time clock for tenure as a newly-appointed faculty with a probationary tenure track appointment or will request consideration for time spent at another university. The dean of the school in which the faculty member has primary responsibilities will determine the prior service qualification. The dean will communicate in writing the proposed date for tenure review.

4.26

Tenured Status Achieved Prior to Joining the Langston University Faculty

Tenure is not automatically transferable from another institution to Langston University. On rare occasions, a highly distinguished faculty member with the rank of associate professor may be given tenure at the time of the initial appointment. Most often, however, individuals who have been granted tenure at another institution will have a probationary tenure track appointment for one year. The individual shall be eligible for tenure at the beginning of the second year of the appointment. The department chairperson and the school dean shall follow the same procedures and time line as specified for other tenure-eligible faculty.

4.27

Promotion

Promotion must be recommended by the President and approved by the Board of Regents before becoming effective. The affected faculty member shall be informed by the appropriate Dean that a recommendation for promotion will be presented by the President to the Board of Regents. Normally, recommendations for promotions are submitted to the Board of Regents for consideration during the June meeting. When approved the Board of Regents specifies the date on which the promotion shall become effective.

4.28

Time in Rank for Promotion

Time in rank is the minimum number of years of continuous service in present rank before promotion consideration is eligible:

4.29

Assistant Professor

Promotion to the rank of assistant professor requires at least 3 years of full-time academic experience at the rank of instructor or non-teaching (research) doctoral experience. In addition to years of service, promotion is based on the demonstration of excellence in teaching, scholarly/creative productivity, and service to the university during the years of service.

4.30

Associate Professor

Promotion to the rank of associate professor requires at least 5 years of full-time academic experience at the rank of assistant professor. An earned doctorate degree or its equivalent in

training or experience is required. In addition to years of service, promotion is based on the demonstration of excellence in teaching, scholarly/creative productivity, and service to the university during the last three years of service.

4.31

Professor

Promotion to the rank of professor requires at least 5 years of full-time academic experience at the rank of associate professor. An earned doctorate degree or its equivalent in training or experience is required. Promotion is not based on years of service but rather on the demonstration of excellence in teaching, scholarly/creative productivity, and service at the university during the last three years of service.

4.32

Policy on Promotion and/or Tenure

Purpose

To assure that all faculty are informed regarding the eligibility criteria process for applying for promotion and/or tenure review process.

Policy Statement

Through the promotion and tenure process Langston University seeks to reward those individuals who demonstrate successive outstanding achievement in the areas of teaching, scholarly/creative productivity, and service within their disciplines. All newly appointed faculty are notified whether they have full-time faculty appointments that are eligible for promotion and/or tenure. The university letter of appointment specifies the details of the appointment. Full-time faculty members who meet the criteria for promotion and/or tenure review and who complete the application for promotion and/or tenure within the designated time frame will be reviewed one time annually in the spring semester. The following procedural steps must be followed in the application for promotion and/or tenure process. The final decision to grant promotion and/or tenure rests with the Board of Regents and no faculty member may be granted tenure without an affirmative action by the Board.

4.33

Procedures

4.34

Departmental Level

1. Faculty on probationary tenure track appointments in their fifth year of service are informed by the department chairperson/director of the upcoming required tenure evaluation in the sixth year of service.

2. Faculty member must notify the chairperson/director in writing if s/he plans to proceed with the review for tenure in accordance with the university promotion and tenure committee calendar.
3. Faculty member seeking not to apply for the promotion and tenure review process will receive a faculty appointment for one more year (seventh year) that will serve as the final year. After that time the faculty member may be offered a temporary non-tenure track appointment or may be terminated through the appropriate administrative process.
4. Faculty member seeking promotion and/or tenure shall complete a promotion and/or tenure dossier. The dossier shall include the documents specified in the promotion and tenure document. The dossier is provided to the department chairperson within the timeframe set by the University Promotion and Tenure Committee Calendar. The chairperson, and/or Dean shall include pertinent documents in the dossier for review by the promotion and tenure committee. Evidence such as formal reprimands, faculty appraisals by students, peers, and supervisors may be included in the dossier by the chairperson.
5. Faculty member seeking promotion and/or tenure shall provide three contact names with updated curriculum vitas to the department chairperson to solicit recommendation letters of support or external expertise if necessary. The chairperson may solicit independent external reviewers. The faculty member shall be asked to waive the right to see any of the external reviewer's appraisal of the faculty member.
6. The department chairperson shall review the dossier and forward the dossier to the School Dean with a written recommendation for or against granting promotion and/or tenure to the faculty member. The Dean shall include pertinent documents in the dossier for review by the promotion and tenure committee. Evidence such as formal reprimands, faculty appraisals by students, peers, and supervisors may be included in the dossier by the chairperson.

4.35

School Level

1. The Dean of each school shall assemble a promotion and tenure committee to review applications for individuals seeking promotion and/or tenure.
2. The committee shall consist of five full-time faculty members with a rank of Assistant Professor or higher. The composition of the committee can include members from different schools within the university providing the faculty meet the qualifications of full time faculty and have expertise that can assist with the promotion and/or tenure evaluation process.
3. The committee shall meet in accordance with the University Promotion and Tenure Committee Calendar.

4. The committee shall review the promotion dossier and make a recommendation in writing to the Dean.
5. The Dean shall forward the dossier to the chairperson of the University Promotion and Tenure Committee with a written recommendation for or against granting promotion and/or tenure to the faculty member.

4.36

University Promotion and Tenure Committee

1. The university central administration shall assemble a promotion and tenure committee to review applications for individuals seeking promotion and tenure.
2. The committee shall consist of one tenured faculty from each School as well as one member from University Libraries, and one member from Research and Extension for a three year term limit.
3. The committee shall meet in accordance with the University Promotion and Tenure Committee Calendar.
4. The committee shall review each promotion and tenure dossier and make a recommendation in writing to the Vice President for Academic Affairs indicating for or against granting promotion and/or tenure for each faculty member reviewed. The chairperson of the University Promotion and Tenure Committee shall forward the dossier of each faculty member to the Vice President for Academic Affairs.
5. The Vice President for Academic Affairs shall review the dossier for each faculty and forward the recommendations to the President.

4.37

President

1. The President shall review the recommendations from the Vice President for Academic Affairs and the University Promotion and Tenure Committee.
2. The President shall determine whether to recommend promotion and/or tenure for each candidate and, if such a recommendation is positive in nature, shall forward the recommendation to the A&M Board of Regents.
3. The President shall notify the applicants in writing of promotion and/or tenure decisions in accordance with the university promotion and tenure calendar.
4. The Vice President for Academic Affairs shall forward the dossiers to the

5. Department of Human Resources for safe storage.

4.38

Preparing for Promotion and Tenure

Preparing for promotion and/or tenure begins with the initial appointment to the university. Faculty shall be familiar with the policies and procedures pertaining to promotion and/or tenure. Faculty are responsible for formulating a plan for achieving promotion and/or tenure within specified timeframes. Deans and chairpersons are supportive of the faculty member by communicating the expected performance standards that are evaluated annually. Faculty are responsible for developing a written professional development plan annually that shows successive achievement towards excellence in teaching, research, scholarly/creative productivity, and service. Promotion and/or tenure is given based not only on past merit but on the expectation that successive achievement will continue in future years. Faculty must demonstrate a commitment to ongoing excellence and above average productivity in their discipline and on behalf of the university. A faculty member on a probationary tenure track appointment may apply for tenure in the fifth year but must apply for tenure in the sixth year.

A faculty member who is seeking promotion and/or tenure should meet with the chairperson of the department to review the university promotion and tenure calendar at the earliest convenience to assure that the contents of the dossier and the calendar for submitting the necessary documentation are reviewed.

The dossier for promotion and/or tenure must include the following documents:

1. Candidate's Summary Evaluation Statement on teaching, research, scholarly/creative activities, and professional service
2. Candidate's identification of area(s) of distinction and demonstrating above-average ability in the remaining areas
3. Chairperson's Summary Evaluation Form
4. Dean's Summary Evaluation Form indicating areas(s) of distinction for the applicant
5. Documented evidence of quality in the following areas:
 - a. Teaching
 - b. Research
 - c. Scholarly/creative productivity
 - d. Professional service
6. Supporting documents from the chairperson and Dean:
 - a. Faculty course and instructor evaluation forms for the last three years
 - b. Faculty performance evaluations for the last three years

- c. Chairperson recommendation either for or against the granting of promotion and/or tenure is forwarded to the dean in the school in which the department is located.
- d. Letters of recommendations from discipline peers who are external to the institution when the university lacks discipline peers to evaluate the faculty member.

4.39

Policy on Appeal Process for Faculty Denied Promotion and/or Tenure

Purpose

To assure that all faculty are informed regarding their right to appeal a university decision to deny promotion and/or tenure.

Policy Statement

A faculty member who believes that the decision to deny promotion and/or tenure was arrived at through error in the review process, an unfair review practice, or without adequate appraisal of the evidence provided may appeal the decision. The university will honor an appeal process that enables the faculty to present his/her concerns to a grievance committee set up expressly to address the appeal process.

Procedures:

1. A faculty member who is denied promotion and/or tenure shall notify in writing the chairperson of the department, the Dean of the school, and the Vice President of Academic Affairs of his/her request for an appeal of the University decision to deny promotion and/or tenure.
2. Notification must occur within 10 days of receiving notification of the decision to deny promotion and/or tenure.
3. The committee's initial meeting and final resolution of its work "shall normally" be completed within the designated time frames.
4. The committee will complete all responsibilities associated with hearing the grievance within four weeks of the initial committee meeting.
5. The chairperson of the promotion and tenure grievance review committee will notify the Vice President for Academic Affairs of the recommendation made by the committee to either uphold or not uphold the university decision.
6. The Vice President for Academic Affairs will notify the University President in writing of the recommendation by the committee.

The Vice President for Academic Affairs will notify the faculty member of the committee's recommendation within five days of notifying the President regarding the university action on the appeal request.

Section 5

Academic Responsibilities

5.1

Academic Responsibilities

5.2

Faculty Scholarly Responsibilities

Faculty fulfill their role as scholars by contributing to the university as instructors, researchers, and service providers. Each faculty member is accountable to a professional development plan that delineates the minimum expectations for each academic year. It is the responsibility of the faculty member to achieve the goals and objectives established at the time of annual performance appraisal. Faculty members shall advocate on their own behalf to insure success within the academic setting. Active participation in teaching, researching, and service are fundamental faculty responsibilities. University administration seeks to support faculty. The *Faculty Handbook* delineates the policies and procedures pertaining to faculty development and the annual performance appraisal process.

5.3

Faculty Load

The departmental average teaching load shall not exceed twenty-seven hours per academic year. A faculty member who teaches only graduate course shall have an eighteen hour graduate teaching load. A mixed graduate and undergraduate teaching load shall be computed at a ratio of three graduate hours equal four undergraduate hours.

Faculty members teaching twelve or more undergraduate hours may be allowed to teach one overload class per semester. Faculty members may accept one additional overload assignment per year provided that the assignment is either for service or scholarly activity. Off-campus

Murray State College

CHAPTER IV PERSONNEL/FACULTY SPECIFIC

A. FACULTY PROMOTION IN RANK & TENURE

Policy Statement (Approved by the MSC Board of Regents June 17, 2014)

Murray State College recognizes four classifications of academic rank: 1) instructor; 2) assistant professor and tenure; 3) associate professor and tenure; and 4) professor and tenure. Regular full-time permanent faculty are ranked as an instructor upon employment in a full-time permanent faculty position. Regular full-time permanent faculty have the opportunity to apply for promotion in academic rank and tenure as outlined in the Faculty Promotion in Rank and Tenure Procedure. Monetary incentives for promotion in rank and tenure may be provided based upon the specified procedures and the availability of funds.

Procedure

The criteria for the rankings, as well as procedures for advancement of rank, are included in the following procedure.

1. Procedures for Recommendation for Promotion in Rank and Tenure:
 - a. The faculty member submits a letter of intent to apply for advancement in rank to the division chair by December 1 if eligibility criteria are met.
 - b. The division chair sends a recommendation for rank advancement to the Vice President for Academic Affairs (VPAA), who then forwards it to the chair of the Academic Rank/Tenure Committee (AR/TC). The AR/TC then sends notification to the faculty member. The AR/TC is a standing committee composed of advanced rank/tenured faculty with three members elected by the Faculty Assembly and two members appointed by the VPAA. In the event that there are more than eight applicants for advanced rank/tenure, a second committee will be formed in the same manner.
 - c. The faculty member under consideration for promotion in rank must submit the following to the Office of Academic Affairs by January 25 of the application year:
 1. A written cover letter,
 2. A current vitae including listings of criteria to be considered for advancement,
 3. A reference letter from his/her division chair (or the VPAA when a division chair is applying for rank) and a fellow MSC faculty member,
 4. Documentation of the required minimum number of "Expected" (70%) or higher faculty evaluations,
 5. A written narrative explaining fulfillment of the criteria for rank advancement.
 6. Submit four narratives regarding professional development experiences for each year of service being considered in the advancement.
 7. Additional evidence supporting or proving advancement criteria may be requested by the AR/TC.
 - a. The faculty AR/TC reviews the written narrative and supporting evidence and presents its recommendation to the VPAA by March 25. The AR/TC may recommend a rank lower than the one for which the faculty member is applying, but may not recommend removal of any rank that the faculty applicant has already earned; i.e., if an applicant applies for the rank of associate professor, but the AR/TC feels that the applicant does not meet the qualifications for associate professor, but does meet the qualifications for assistant professor, the AR/TC may recommend the rank of assistant professor.
 - b. The VPAA forwards, with any additional comments and recommendations, the list of candidates to the President by April 15.
 - c. The President makes all final decisions regarding promotion in rank.
 - d. Tenure will be granted with the faculty member's first successful advancement in rank. Tenure is defined as the status that may be granted to a faculty member to continue in a position in which he/she has been employed, based on availability of funds and job performance.
 - e. Incoming Faculty: After one year of successful faculty performance, incoming faculty can apply for a specific rank commensurate with their past academic rank and/or experience.
 - f. Existing Faculty: Existing tenured faculty can apply directly for any specific higher rank for which they meet both combined time and other requirements, even if they did not formally apply for those intervening ranks.

CHAPTER IV PERSONNEL/FACULTY SPECIFIC

2. Guidelines in Determining Qualifications for Promotion in Rank per Level

The following guidelines are presented for use in determining an individual's qualifications for promotion in rank.

- a. Instructor: Faculty employed at the rank of instructor must present evidence of scholarship, teaching ability, and practical experience. The official academic transcript must include evidence of course concentration (i.e., major or equivalent) and/or technical specialty within the discipline in which that person is required to teach.
- b. Assistant Professor: The candidate eligible for rank of assistant professor must fulfill the following requirements:
 1. For faculty teaching within the Associate in Science/Arts (general education) programs: earned at least a master's degree from an accredited university relevant to the coursework to be taught. For faculty teaching within the Associate in Applied Science programs: earned at least a baccalaureate degree from an accredited university relevant to the coursework to be taught.
 2. Have completed at least four years full-time faculty employment in higher education, and/or career and technology education, at the end of the current academic year, with at least 2 years at MSC.
 3. Complete a minimum of four professional development experiences each year and provide a one-page narrative of its application to the instructional process for each experience; or, if the faculty member is engaged in completing graduate hours beyond the master's degree, provide four one-page narratives regarding four specific applications learned in the graduate coursework.
 4. Make a significant contribution to institutional advancement through leadership.
 5. The following items must be submitted:
 - a. A written cover letter,
 - b. A current vitae including listings of criteria to be considered for advancement,
 - c. A reference letter from his/her division chair (or the VPAA when a division chair is applying for rank) and a fellow MSC faculty member,
 - d. Documentation of at least three "Expected" (70%) or higher faculty evaluations,
 - e. A written narrative explaining fulfillment of the criteria for rank advancement.
 - f. Submit four narratives regarding professional development experiences for each year of service being considered in the advancement.
 - g. Additional evidence supporting or proving advancement criteria may be requested by the AR/TC.
- c. Associate Professor: The candidate eligible for rank of associate professor must fulfill the following requirements:
 1. Earned a master's degree from an accredited university relevant to the coursework to be taught and eight years full-time faculty employment in higher education, and/or career and technology education, two of which at MSC; or earned a doctorate with four years of faculty employment in higher education, and/or career and technology education, two of which at MSC.
 2. Complete a minimum of four professional development experiences each year and provide a one-page narrative of its application to the instructional process for each experience; or, if the faculty member is engaged in completing graduate hours beyond the master's degree, provide four one-page narratives regarding four specific applications learned in the graduate coursework.
 3. Make a significant contribution to institutional advancement through leadership.
 4. Active participation in a discipline-based state, regional or national organization; or make significant contribution to the academic discipline at a regional, state, or national level.
 5. The following items must be submitted:
 - a. A written cover letter,
 - b. A current vitae including listings of criteria to be considered for advancement,
 - c. A reference letter from his/her division chair (or the VPAA when a division chair is applying for rank) and a fellow MSC faculty member,
 - d. Documentation of at least three "High Performing" (80%) or higher faculty evaluations,
 - e. A written narrative explaining fulfillment of the criteria for rank advancement.

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- f. Submit four narratives regarding professional development experiences for each year of service being considered in the advancement.
 - g. Additional evidence supporting or proving advancement criteria may be requested by the AR/TC.
 - d. Professor: The candidate eligible for rank of professor must fulfill the following requirements:
 1. Earned a doctorate from an accredited university relevant to the coursework to be taught and eight years of faculty employment in higher education, and/or career and technology education, four of which at MSC; or earned a master's degree from an accredited university relevant to the coursework to be taught and twelve years of full-time faculty employment in higher education, and/or career and technology education, four of which at MSC.
 2. Complete a minimum of four professional development experiences each year and provide a one-page narrative of its application to the instructional process for each experience; or, if the faculty member is engaged in completing graduate hours beyond the master's degree, provide four one-page narratives regarding four specific applications learned in the graduate coursework.
 3. Active participation in a discipline-based state, regional or national organization; or make significant contribution to the academic discipline at a regional, state, or national level.
 4. Make a significant contribution to institutional advancement through leadership.
 5. The following items must be submitted:
 - a. A written cover letter,
 - b. A current vitae including listings of criteria to be considered for advancement,
 - c. A reference letter from his/her division chair (or the VPAA when a division chair is applying for rank) and a fellow MSC faculty member,
 - d. Documentation of at least three "High Performing" (80%) or higher faculty evaluations,
 - e. A narrative supporting criteria being reviewed for advancement.
 - f. Submit four narratives regarding professional development experiences for each year of service being considered in the advancement.
 - g. Additional evidence supporting or proving advancement criteria may be requested by the AR/TC.
 - e. Evaluations: If there are not a sufficient number of completed faculty evaluations on file, requirements for minimum number of evaluations may be reduced in lieu of a letter of verification by the division chair or a reference letter by the acting VPAA or two letters of recommendation by peer department members. Any available completed faculty evaluations within the past four years should be produced for application.
 - f. Professional development narratives: In the first year of implementation, applicants for advanced rank must submit from the previous year a minimum of four one-page narratives of professional development experiences. For each succeeding year, applicant must add another year's worth of experience narratives, up to the fourth year of implementation.
3. Evidentiary Criteria for Promotion in Rank
The following are examples the candidate might use in documenting continuing performance in specific areas. These are only examples, and the candidate is not confined to the use of only these examples. The items used must be documented.
- a. Superior Teaching and Classroom-Related Duties:
 1. Positive peer and/or student evaluations.
 2. Improve or develop techniques in teaching and learning.
 3. Develop supplemental materials for instruction.
 4. Unsolicited letters from students or others.
 5. Student advisement/tutoring activities beyond the normal expectation.

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- b. Professional Growth and Development:
 - 1. Complete annual faculty evaluation.
 - 2. Participate in seminars and workshops, including written narrative of application to the instructional process.
 - 3. Participate in the Oklahoma Association of Community Colleges (OACC) activities, etc.
 - 4. Participate in professional organizations within area of specialty.
 - 5. Present paper(s) to professional organizations.
- c. Scholarship:
 - 1. Formal educational pursuits that result in a quality transcript.
 - 2. Continuing education.
 - 3. Certification(s) in area(s) of specialization.
 - 4. Publish papers, articles, etc.
 - 5. Regional, state, or national recognition in field of specialization.
- d. Leadership through Institutional Service:
 - 1. Serve on standing and ad hoc committees.
 - 2. Participate in professional organizations.
 - 3. Appear on TV, radio, or other media.
 - 4. Provide graduation advisement.
 - 5. Participate in recruitment activities.
 - 6. Sponsor student organizations, judging teams, etc.
 - 7. Organize special days/activities, such as: Scholastic Contests, Business Day, Academic Bowl, Speech Contests, etc.
 - 8. Participate in campus activities.
- e. Leadership through Institutional Responsibilities:
 - 1. Serve as officer (chair, etc.) of institutional committee.
 - 2. Serve as chair of an academic department or program.
 - 3. Serve on institutional committee/council.
 - 4. Provide assistance in policy/procedure development.
 - 5. Promote and perpetuate a positive culture within the institution.
- f. Leadership through Community Service:
 - 1. Speak to community or professional groups.
 - 2. Participate in civic groups.
- 3. Provide consultation within academic field to a community group.
- 4. Participate in Chamber of Commerce, City Council, etc.
- 5. Sponsor organization(s) such as 4-H, Boy Scouts, etc.
- 6. Compensation for Promotion in Rank
 - a. After final approval by the President, the faculty member will receive the following amounts added to annual salary, beginning at the start of the next academic year:
 - 1. Assistant Professor: \$1000
 - 2. Associate Professor: \$2000
 - 3. Professor: \$3000
 - b. These amounts added to the annual salary are cumulative. If a faculty member advances directly to a rank more than one level above the current rank (e.g., from Assistant Professor to Professor), the faculty member does receive the added amounts attributable to the intervening rank(s). Compensation for Promotion in Rank is considered a stipend for payroll purposes, not an increase to the base salary; and, it is based upon the availability of funds.
- 5. Procedures for Renewal of Advanced Rank Faculty Pay
 - a. At the end of five years subsequent to being granted advancement in rank, the faculty member is formally reviewed by the AR/TC. Faculty members who have achieved annual evaluation performance points equal to or above an expected (70%) rating and who have received no annual rating below expected (70%) during the five-year period will automatically be renewed for an additional five years without further review. Should the faculty member have annual evaluation(s) that fall below expected (70%), the faculty member being reviewed has the opportunity to provide a written narrative providing justification and documentation for any faculty evaluation that falls below the expected (70%) rating.
 - 1. The Rank Advancement Committee will obtain a list of eligible candidates from the MSC Human Resources Department by January 25 during the fifth year of rank advancement.

CHAPTER IV PERSONNEL/FACULTY SPECIFIC

2. The Committee will notify eligible candidates by February 15 of review requirements.
3. The candidate will submit any requested information or documentation by the first Monday after the scheduled Spring Break.
 - b. During the division chair's annual performance review of the faculty member, the division chair determines if he/she supports continuation of advanced rank faculty pay. The division chair may send a request to the AR/TC to review the renewal of advanced rank faculty pay for a faculty member, if deemed necessary, before the end of five years at a given rank.
 - c. After reviewing the documentation, the AR/TC makes recommendations to the VPAA, who then forwards recommendations, with any comments, to the President. The recommendation includes one, or more, of the following:
 1. Continued advanced rank pay.
 2. Continued advanced rank pay with stipulations pertaining to professional improvement to be attained by a definite period.
 3. Probation for a definite period of time to make appropriate professional and/or personal adjustments.
 4. Discontinuance of advanced rank pay.

B. TENURE

Policy Statement (Board Approval Date: 3/22/11)

The state of Oklahoma is an "at-will" employer, and as a state agency MSC is an "at-will" employer. "At-will" employment is terminable at the will of either the employee or employer. Further, promises or representations made by anyone concerning the conditions of employment, express or implied, does not negate the right of the College to dismiss employment at any time, with or without cause. However, the Board of MSC recognizes the importance of establishing personnel procedures which provide the faculty and other employees' protection against arbitrary and capricious acts of administrators, employees, peers, Board members, legislators, and members of the lay public; and provide the institution protection against indolence, complacency, incompetence, and unproductiveness of faculty and other employees. (See Chapter III: Personnel.)

Procedures and General Overview

1. A faculty member is granted tenure with the first successful advancement in rank. Tenure is defined as the status that may be granted to a faculty member to continue in a position in which he/she has been employed, based on availability of funds and job performance as indicated by annual faculty evaluation. Librarians and other learning resources personnel with similar responsibilities are considered as faculty members for tenure and rank advancement purposes. Tenure does not apply to an administrative position.
2. Because of the budget balancing amendment of the Oklahoma Constitution, the Board cannot obligate funds in excess of the unencumbered balance of surplus cash on hand. Consequently, the Board may not obligate itself by binding appointments beyond a current fiscal year for salaries or compensation in any amounts to its employees. The Supreme Court of Oklahoma has strictly construed this constitutional provision by ruling that any liability sought to be incurred in excess of current revenues on hand is void.
3. The terms and conditions of every appointment should be stated in writing in the job description and be in the possession of both the institution and the faculty member before the appointment is consummated. Tenure is granted only by written notification.

C. ACADEMIC FREEDOM

1. The faculty member is entitled to freedom in the classroom and in discussing his/her subject, but he/she will be objective in his/her teaching of a controversial matter which has relation to his/her subject, of controversial topics introduced by students, and will not introduce into his/her teaching controversial matters which have little or no relation to his/her subject.

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2. Each faculty member is an individual, a member of a learned profession, and a representative of an educational institution. When he/she speaks or writes as an individual, he/she should be free from institutional censorship or discipline, but his/her special position in the community imposes special obligations. As a person of learning and as an institutional representative, he/she should remember that the public may judge his/her profession and his/her institution by his/her utterances. Hence, he/she should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others, and should make every effort to indicate that he/she is not an institutional spokesperson.

D. FACULTY GUIDELINES AND EXPECTATIONS

Procedure

1. Absences from Duty: Any faculty member that will be away from his/her duties should file (five days before departure) a Request for Leave of Absence form (available on the MSC Commons/MSC Forms). Any faculty member who deliberately misses a class, makes a habit of dismissing early, does not maintain proper office hours, or who is absent from the campus without clearance will be subject to dismissal.
2. Adjunct/Overload Pay – Installments: Adjunct instructors requesting to be paid in installments for the fall semester are paid the last working day of the month (as designated by the state of Oklahoma) in September, October, November, and December. Installments for the spring semester are paid the last working day of the month (as designated by the state of Oklahoma) in February, March, April, and May. This schedule is contingent upon receiving the employment paperwork on or before the 16th of September for the fall semester and the 16th of February for the spring semester.
3. Adjunct/Overload Pay – Lump Sum: Instructors for the fall and spring regular semester who are paid one lump sum will receive payment on the date that semester grades are due provided employment paperwork is submitted to the Human Resources Office on or before the 16th of the previous month.
4. Adjunct/Overload Summer Pay: Summer instructors are paid in one installment the last working day in July (as designated by the state of Oklahoma) after grades have been submitted to the Registrar provided the employment paperwork is received on or before the 16th of the month.
5. Advanced Study and Professional Growth: It is recommended that each faculty member improve his/her professional status by accumulating as many hours in his/her major field of concentration as possible. Faculty members are encouraged to pursue continuing education in their major field of study.
6. Assessment of Courses by Students: Each semester, students complete course assessment surveys.
7. Cancellation of Classes Due to Insufficient Enrollment: The recommendation for canceling a class must be made in concert with the appropriate supervisor. (If a class is cancelled, a student is not penalized.) Prior to cancellation, the following items will be considered:
 - a. Will the instructor remain fully occupied if the class is cancelled?
 - b. Is the instructor's load beyond 15 hours?
 - c. How will the instructor become fully occupied if the load is less than 15 hours?
 - d. Is the class necessary for graduation?
 - e. Can the load be balanced within the division?
8. Class Schedules: The chief academic officer, with the assistance of the Academic Council, will arrange and publish the schedule of classes each semester. The schedule will reflect an attempt to equalize the teaching loads and class size, balance the work of instructors and students daily throughout the week, eliminate course conflicts, make maximum utilization of space and physical properties, and addresses student needs. The class schedule, as printed, must be followed as to meeting time, days, and length of the class meetings. Any deviation from the printed schedule should be an unusual occurrence and must be approved by the appropriate supervisor.
9. Class Rosters: Class rosters may be accessed online through Campus Connect.

Northeastern Oklahoma A&M College
(no policy)

Northeastern State University

Northeastern State University

Post Tenure and Tenure Policy from [Current NSU \(2017\) Faculty Handbook](#)

3.3.2 Review of Tenured Faculty

The academic and professional performances of each tenured faculty member at each institution must be formally reviewed at least every three (3) years. (RUSO 3.3.5b) The post-tenure review is intended to determine whether the faculty member continues to meet expectations in Effective Classroom Teaching, Scholarly or Creative Achievement, and Contributions to the Institution and Profession.

a. Post-Tenure Review Committee

A post-tenure review committee of at least three tenured members at or above the rank of the faculty member will be selected by the faculty member in consultation with the department chair. Committee members can come from outside the program or department. The department chair will serve as the chair of the Post-Tenure Review committee. The committee will determine if the faculty member meets expectations in Effective Classroom Teaching, Scholarly or Creative Achievement, and Contributions to the Institution and Profession areas via a majority vote. Faculty must meet expectations in all areas in order to receive an adequate review.

b. Post-Tenure Review Procedure

The period of consideration for post-tenure review begins immediately after the awarding of tenure, regardless of the faculty member's decision to seek or not seek promotion. The formal post-tenure review takes place in the fall semester of the faculty member's third year after the awarding of tenure and in the fall semester of every third year thereafter.

The tenured faculty member will prepare an extended curriculum vita that includes accomplishments for the committee of his/her progress/ accomplishments since the last review in the areas of Effective Classroom Teaching, Scholarly or Creative Achievement, and Contributions to the Institution and Profession. If the faculty member does not meet expectations in all areas, the Committee's recommendations for improvement will be communicated in writing to the faculty member and to the dean. The results of the vote, and any recommendations for improvement, will be communicated by the committee chair to the dean. The dean will meet with the faculty member, discuss the committee's findings and recommendations (if any), and write a summary of the meeting. If the dean believes that progress in any of the areas does not meet expectations, suggestions for improvement will be communicated in writing to the faculty member in the written summary.

When the review results in a finding that a tenured faculty member's academic and professional performance is unsatisfactory, the faculty member shall be notified of the deficiencies in performance through the written summary and must be formally reviewed again within one (1) year. The results of each review will be placed in the personnel record of the tenured faculty member. The tenured faculty member should be given a copy of the review and an opportunity to respond. Two consecutive unsatisfactory post-tenure performance evaluations may be grounds for dismissal or suspension. (RUSO 3.3.5b)

3.4 Academic Tenure

Confidentiality is an integral part of all evaluation and review processes. Any individual participating in these processes shall hold all deliberations, votes, recommendations or any other information in strictest confidence, subject only to the appeals process as outlined in the *Faculty Handbook* or subpoena.

Tenure is granted to non-tenured faculty whose work has satisfied university and department standards of quality and significance in Effective Classroom Teaching, Scholarly or Creative Achievements and Contributions to the Institution and Profession following the Boyer Model, as laid out in Appendix C. Tenure represents the university's long-term commitment to a faculty member, and is only granted when there is evidence that the individual will continue to make increasingly distinguished contributions to the university and its instructional program, her/his discipline, and the community.

Tenure is normally considered after the fifth year of a non-tenured appointment. Credit toward tenure may be granted at time of appointment and any such credits would reduce the length of the probationary period. Early tenure shall not normally be considered until the candidate has completed at least one full retention review, after which s/he may request consideration for early tenure. To receive a favorable recommendation for early tenure, a candidate shall have achieved, before the normal probationary period, a record of accomplishment that meets the standards and level of performance for tenure indicated in these guidelines. Prior to the final decision, candidates for early tenure may withdraw without prejudice from consideration at any level of review.

To be recommended for tenure, candidates shall receive performance ratings that reflect that the candidate meets or exceeds the department's criteria in the areas of Effective Classroom Teaching, Scholarly or Creative Achievements and Contributions to the Institution and Profession.

It is the responsibility of departments to establish clearly the expectations for tenure consistent with college and university expectations. Departments are also responsible for establishing clear requirements for documenting the quality and significance of faculty achievements. In the event that there are no approved department tenure criteria and standards, college or university criteria and standards will be applied.

Departments and colleges will submit a copy of approved RTP requirements to the Faculty Council and the Provost/Vice President for Academic Affairs every two years, at the time of the *Faculty Handbook* revision. The Faculty Council Ad Hoc Faculty Handbook Committee and the Provost/VPAA shall have the responsibility to review the RTP requirements for consistency with the *Faculty Handbook*. The Faculty Council will submit a letter of findings and may make recommendations to the Provost/Vice President for Academic Affairs regarding inconsistencies with the *Handbook*. Once approved by the Provost's Office, the RTP guidelines will be posted publicly on the college website and a copy will be given to each faculty member.

Department criteria shall remain sufficiently flexible to allow for and recognize individual uniqueness and creativity in performance. Department criteria encourages equitable performance and commensurate quality for promotion and tenure considerations.

For the purposes of this policy, "department" refers to an academic unit in which faculty participate as their main assignment. In most cases, "department" refers to a degree-granting academic unit, but in certain cases a more flexible definition is necessary.

3.4.1 Criteria and Policies

- a. Tenure is a privilege and a distinctive honor. Tenure is defined as continuous reappointment which may be granted to a faculty member in a tenure-track position, subject to the terms and conditions of appointment. The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the University. While specific responsibilities of faculty members may vary because of special assignments or because of the particular mission of an academic unit, all evaluations for tenure shall address at a minimum whether each candidate has achieved excellence in:
 1. Effective classroom teaching;
 2. Scholarly or creative achievement;
 3. Contributions to the institution and profession; and
 4. Performance of non-teaching semi-administrative or administrative duties.

Each University may formulate standards for this review and determine the appropriate weight to be accorded each criteria consistent with the mission of the academic unit. (RUSO 3.3.3a) All members

of the faculty at Northeastern State University are expected to be involved in scholarly activities that contribute to the multifaceted mission of a community of scholars whose primary responsibility is teaching.

- b. Tenure is granted by the Board of Regents of RUSO upon recommendation of the University president. Determination of merit and recommendation for granting tenure shall comport with the minimum criteria and policies and procedures contained in this chapter. (RUSO 3.3.3b)
- c. The terms and conditions of every appointment or reappointment shall be stated in writing and be in the possession of both the institution and faculty member before the appointment is consummated. Tenure shall be granted only by written notification after approval by the Board. Only full-time faculty members holding academic rank of assistant professor, associate professor, or professor may be granted tenure. Qualified professional librarians shall be considered faculty members if they are given academic rank. (RUSO 3.3.3c)
- d. Tenure does not apply to administrative positions, but a tenured faculty member appointed to an administrative position retains tenured status as a member of the faculty. (RUSO 3.3.3d)
- e. The Board intends to reappoint tenured personnel to the faculties of the institutions under its control within existing positions that are continued the next year. The Board reserves the right to terminate tenured faculty at the end of any fiscal year if the Legislature fails to appropriate or the Oklahoma State Regents for Higher Education fails to allocate sufficient funds to meet obligations for salaries or compensation. (RUSO 3.3.3e)
- f. The Board recommends that not more than sixty-five percent (65%) of the full-time faculty at a university receive tenure. (RUSO 3.3.3f)

3.4.2 Procedures

- a. Faculty members holding academic rank above the level of instructor (assistant professor, associate professor, or professor) shall be on probation for a minimum of five (5) years after date of first being employed by the university in a tenure-track position. Years of experience in any position other than a tenure-track position may be used for the probation only if approved by the university president. Seven (7) years shall be the maximum probationary period for the eligible faculty member to become eligible for tenure. If, at the end of seven (7) years, any faculty member has not attained tenure, there will be no renewal of appointment for the faculty member unless a specific recommendation for waiver of policy from the president to the contrary is approved by the Board each year. (RUSO 3.3.4.a)
- b. For the purpose of determining probationary employment of faculty members for tenure consideration, sabbatical leave counts as a part of the period of probationary employment, and a leave of absence is not included as part of the probationary period. (RUSO 3.3.4.b)
- c. During the probationary period, each non-tenured faculty will receive counsel from a tenured-faculty mentor. Prior to each academic year, the department chair and/or dean and non-tenured faculty member shall discuss, and agree to, a broad outline of duties the faculty member will perform during the year. The performance of non-tenured faculty members shall be evaluated annually by the appropriate college administrators and the results of the evaluation placed in the personnel record of the non-tenured faculty member. The non-tenured faculty member shall be given a copy of the evaluation before it is placed in the personnel folder. (See section 3.3 Evaluation and Review of Faculty)
- d. Although seven years is the maximum probationary period defined by the Regional University System of Oklahoma, the norm for NSU will be five years in tenure-earning status in accordance with RUSO policies. Accordingly, consideration for tenure will occur in the fall of the sixth employment year (excluding temporary employment and years in non-tenure-earning or non-tenure-track positions, unless addressed in 3.2.2.b). By September 30, the candidate will provide to the department chair a

completed professional portfolio, showing evidence of excellence in each of the criteria listed in 3.41. At this time, the candidate will be evaluated for tenure in accord with RUSO's policies.

- e. Each faculty member applying for tenure shall submit a professional portfolio consistent with the format contained within "The Professional Portfolio: Tenure and Promotion Review" in Appendix C and available online, in college offices, and on the Faculty Council website. The definition of scholarship and performance criteria applicable to all University faculty considered for tenure are the same as for promotion (refer to Section 3.3.3). Examples for these categories are provided in the professional portfolio. Examples of acceptable scholarly activities within the individual academic units are available at department and college offices.
- f. When a faculty member is to be considered for tenure, the department chair shall call a meeting of the tenured members of the department for a discussion of the case. In the event that the department chair is applying for tenure, the senior, tenured faculty member in the department will be asked to serve as the chair of the tenure committee and forward the recommendation to the dean. If the number of tenured faculty members in a department is fewer than five (5), the actual tenured members in that department, plus additional tenured faculty members appointed by the chief academic officer or his or her designee to form a group of at least five (5) tenured faculty members, shall act as an ad hoc committee for tenure recommendation. In some areas, a candidate's NSU colleagues are well qualified to provide the requisite objective review. In other instances, colleagues or community partners outside the university may be needed to provide additional expertise not available within the NSU community. The candidate, department chair or dean may request approval to solicit additional external evaluators to provide local, regional, national, and/or international perspectives on a candidate's achievements and activities. Such a request shall be directed to the Provost/Vice President for Academic Affairs and shall document (1) the special circumstances which necessitate an outside reviewer, and (2) the nature of the materials needing the evaluation of an external reviewer. The request must be approved by the Provost/Vice President for Academic Affairs with concurrence of the faculty member. In such cases, the candidate may be asked to submit the names of potential external evaluators to the department chair or dean. In accordance with these guidelines, the department chair or dean is responsible for soliciting letters of evaluation from appropriate colleagues or community partners in a timely manner. An external evaluator shall be asked to evaluate the quality and significance of a candidate's achievements only in those scholarship areas where s/he has first-hand knowledge of the candidate's scholarly work. External evaluators shall not be asked to conduct evaluations of the candidate's full portfolio.
- g. No less than one week prior to the first tenure committee meeting date, the department chair notifies the committee of the meeting day, date, and time of the first meeting, to be scheduled in October. This official notice will contain the names of the candidates for tenure. At the first committee meeting, the department chair shall explain tenure policies and procedures, review the performance of each candidate for tenure, and provide a copy of each candidate's tenure professional portfolio to the assembled committee (tenured faculty).
- h. Based on data provided in the professional portfolio; by the department head, alumni, current students, and non-tenured colleagues; and from personal observation of the candidate's performance in relevant areas (see 3.4.1), the tenured faculty will review and evaluate each tenure candidate. The result of the review shall be a written recommendation that summarizes strengths and areas needing development, gives ratings of activity in all areas, and makes a formal recommendation regarding tenure. If the applicant is being considered for promotion at the same time, the recommendation document may address both situations. The format and process for the report shall follow that outlined for the promotion report. (See 3.3.3.d)
- i. At a second meeting, held on or before October 31, the committee for tenure recommendation shall reconvene. The faculty member's contributions to the mission of the university shall be reviewed and evaluated by the tenured members of his or her department (who shall constitute the committee for tenure recommendation). The committee for tenure recommendation shall then cast one secret

ballot for each candidate to determine whether a recommendation for the granting of tenure will be made. Once cast, a ballot cannot be changed. Absentee ballots are valid if presented to the committee chair within the two days before the scheduled vote. After the votes have been cast, the ballots will be counted in the presence of the tenured members present with the results announced for each candidate as number for, number against, and number abstaining. A simple majority rule shall prevail. The results of all balloting will be confidential and will not be included in the faculty member's personnel file.

A written report of this vote, in the form of a memo, is delivered to the department chair by the committee chair. The chair shall report the results of the vote, separate from his or her recommendation, to the dean who will forward that recommendation as well as the dean's recommendation to the chief academic officer on or before December 1. The dean and department chair recommendations become part of the faculty member's personnel file. The chief academic officer will report these recommendations as well as his or her recommendation to the president. (RUSO 3.3.5)

- j. The chief academic officer will report these recommendations as well as his or her recommendation to the president. A recommendation for tenure may also come directly from the chief academic officer or from the president of the University without prior recommendation from the department. If the president determines to recommend granting of tenure, he or she will make the recommendation to the Board. (RUSO 3.3.5)
- k. Only the President or her/his designee may disseminate information to the campus about tenure decisions. All deliberations and written comments from the committee regarding retention, tenure, and promotion shall be kept confidential.
- l. Faculty granted tenure by the Board of Regents for the RUSO will be notified in writing prior to July 1 by the president of the University. A candidate who believes there has been a procedural error during the tenure process may appeal the recommendations to the University Grievance Committee (See Section 3.6).

3.4.3 Denial of Tenure

If the faculty member is not recommended for tenure, the candidate will be notified in writing that his/her current year appointment (in tenure-earning status) is a terminal contract. In extremely rare cases, circumstances might make it advisable to notify a failed candidate that he/she will be extended an additional one-year probationary contract. In this rare case, the candidate will be reviewed again during the fall semester of the seventh probationary year. A failure to secure a recommendation for tenure during this probationary period will result in no renewal of appointment for the faculty member unless a specific recommendation for waiver of policy from the President to the contrary is approved by the Board of Regents for the RUSO for each year thereafter. A faculty member not recommended or approved for tenure will be notified in writing by the chief academic officer.

Northern Oklahoma College

4.1.2 Types of Appointments to Faculty

Full-time faculty hold one of three types of appointments; however, the President may recommend exceptions.

a. **Tenured**

A tenured appointment is reserved for those full-time faculty members who have been granted tenure after completing the application process and obtaining administrative approval. Tenured faculty members are on continuous appointment unless their appointment is being terminated; however, both tenured and non-tenured faculty will be notified of their annual reappointment through a letter of intent to reappoint pending budget approval sent from the Office of Academic Affairs after board review of faculty rehire list. This letter will be sent no later than June 15 of each year. Tenured faculty are required to have at least an earned master's degree in a field appropriate to their teaching assignment and three years of full-time experience with the master's degree at Northern Oklahoma College.

Note: The procedures for tenure application and the procedures for dismissal of tenured faculty are covered in Sections 4.6.3 and 4.6.4.

b. **Tenure Track**

Tenure track appointments are for one (1) year, renewable annually at the option of the College. A person on tenure track will be given written notification of non-reappointment by June 15, prior to the termination of the current appointment. Recommendations for tenure are usually made at the close of the spring semester.

c. **Non-Tenure Track**

A non-tenure track appointment is one in which the faculty member is appointed to the regular faculty but is not eligible to receive tenure and is classified as on a non-tenure track. Non-tenure track may be assigned for a coaching position or a split staff/faculty position. Faculty with this type of appointment will be given written notification of non-reappointment no later than June 15, prior to the termination of the current appointment. A non-tenure track appointment may be changed to a tenure-track appointment upon written agreement signed by both the President and the faculty member.

4.3.2 Evaluation of Continuing Full-time Faculty

The evaluation process for full-time faculty consists of three parts: (1) student evaluations; (2) self-evaluation and service report; (3) division chair and/or campus vice president evaluation. Student evaluations are conducted each semester while the others are done in the spring semester. All full-time faculty, including new faculty, will be subject to this process. Adjunct faculty will have classes observed by their supervisors, and they are responsible for having classes complete the student evaluations but are not required to turn in self evaluations or service reports.

a. Student Evaluations

Student evaluation forms will allow students to respond to a set of questions about classroom performance on a scale from “Strongly Disagree” to “Strongly Agree” and will also allow students to write in comments about what they like and dislike about the course and whether or not they recommend the instructor.

The following procedure was adopted in December of 2010 by division chairs and faculty liaisons as the means of choosing which courses would be evaluated:

Components of the Faculty Evaluation by Students

Faculty to be Evaluated

The following categories of faculty members will be evaluated as follows:

- Adjunct Faculty in years 1-3 of service.....Every class – Every semester

With approval of liaison and division chair after year 3:

- Adjunct Faculty teaching 1-2 classes.....One class per semester
- Adjunct Faculty teaching 3-4 classes.....Two classes per semester
- First year full-time Faculty.....Every class – Every Semester
- Non-Tenured Faculty.....Every class – Every Semester
- Tenured Faculty..... Two classes per semester selected by the division chair or supervisor

Selection of Classes in which Tenured Faculty Member is to be Evaluated

The classes per faculty that will be evaluated are as follows:

- Online Classes.....Every class – Every semester*
- ITV Classes.....Minimum of 1 per instructor teaching ITV*
- (Results from Online and ITV Class evaluations will be assessed in a different group from the faculty member’s other classes)
- Faculty member’s classes.....Faculty selects one class
- Faculty member’s classes.....Division Chairs and/or Director of Institutional Research selects one to two classes

*Required ITV and Online Evaluations may count toward the two class minimum course evaluations for tenured faculty.

Timelines for Evaluations

The evaluation instruments will be disseminated to students in the following weeks of the semester:

- Eight Week Classes.....6th-8th week
- Full Semester Classes (on site and online).....12th-14th week
- Seminars..... At the conclusion of the class

Evaluation Instruments to be Utilized

The evaluation instruments to be utilized have been designed and developed as a collaborative effort of the Faculty Affairs & Personnel Policies Committee, the President, the Vice President for Academic Affairs, and the Division Chairs of Northern Oklahoma College.

b. **Self-Evaluation**

This form requires faculty to assess their current year performance in a series of broad areas relating to their effectiveness as a faculty member and service to the institution.

c. **Division Chair Evaluation**

The division chair (with input from the campus vice president when the faculty member is based on an alternate campus from the chair) will evaluate the faculty member on the same form used by the faculty for their self-evaluation.

If the evaluation process reveals significant deficiencies in professional performance, an official plan of improvement will be developed and monitored during subsequent academic year.

4.6.3 Faculty Tenure

Tenure is a privilege and a distinctive honor. Tenure is defined as continuous reappointment, which may be granted to a faculty member in a tenure-track position, subject to the terms and conditions of appointment. The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the College. While specific responsibilities of faculty members may vary because of special assignments or because of the particular mission of an academic unit upon eligibility after three years of service (with a minimum of a master's degree for those three years as well) a candidate applying for tenure must submit a typed letter no later than April 1 to his or her division chair requesting that consideration and attaching a portfolio of evidence to support excellence in the following areas, using headings or cover pages for each numbered item:

- a. Evidence of effective classroom teaching (supervisor evaluations, student evaluations*, results of classroom-based research comparing teaching strategies, assessment data, etc.)
- b. Student involvement (e.g. academic advisement, sponsorship of and/or involvement in student activities, hosting study groups, providing individual assistance to students as needed, etc.)
- c. Evidence of professional development (e.g. research/publications, presentations, conferences attended, webinar participation, continuing education, participation in on-site professional development, etc.)
- d. Evidence of institutional contributions (e.g. adherence to college policies, committee participation, timely submission for deadlines, such as grades, no show rosters, feedback on schedules, assessment data, and other divisional contributions).

Supervisors may provide candidates additional information on the weight of each element as appropriate to the specific needs of the discipline in which he or she teaches and can verify what evidence might already be on file (*e.g. student evaluations). No application for tenure should exceed 100 pages, including the evidence file.

No instructor may be granted tenure if he or she has been on a plan of improvement in the 12 months preceding the tenure request, and an instructor who is denied tenure should meet with his or her division chair to determine areas of improvement for future applications. Non-tenured faculty will remain in the probationary stage of employment, and division chairs may recommend that they not be rehired if there is evidence they do not fit the mission of the College nor the expectations for Northern faculty.

After reviewing tenure applications, supervising division chairs (in consultation with a review committee of the chair, two colleagues, and campus vice presidents when appropriate) should make tenure recommendations in writing to the Office of Academic Affairs no later than May 31. Chairs may wish to select one person on the review committee who represents a different academic division for feedback on the applicant's overall level of collegiality in other areas

such as committee work. Tenure is granted by the Board of Regents for Northern Oklahoma College upon the further endorsement and recommendation of the Vice President for Academic Affairs. Determination of merit and recommendation for granting tenure shall comport with the minimum criteria and policies and procedures contained in this chapter. Tenure status is imparted to the instructor by a letter from the Vice President for Academic Affairs to this effect, and in this manner only.

Tenure does not apply to administrative positions, but a tenured faculty member appointed to an administrative position retains tenured status previously granted as a member of the faculty.

The President intends that tenured personnel are reappointed to the faculty the next academic year but reserves the right to terminate tenured faculty at the end of any fiscal year if the Legislature fails to appropriate or the Oklahoma State Regents for Higher Education fails to allocate sufficient funds to meet obligations for compensation.

4.6.4 Faculty Discipline and Dismissal

Any person given tenured faculty status may be removed from his/her position of employment or his/her services otherwise terminated at any time, at the discretion of the President with subsequent approval of the Board of Regents, for any of the following causes:

- a. Personal misconduct; unethical or unprofessional conduct; failure to exercise proper professional courtesies and restraints; failure to meet legitimate personal obligations or debts in a timely manner; conduct which materially and adversely affects one's value or usefulness to the College; abuse of academic freedom as defined in college policies.
- b. Professional incompetence; failure to perform one's duties in an acceptable manner; capricious or unjust dealing with students; sexual relationships with students that jeopardize instructor objectivity in assigning grades (In addition to this guideline see Section 3.4 of this handbook for the policy on sexual harassment as it applies to all employees); failure to perform assigned duties or functions; failure to fulfill time obligations; failure to maintain office hours; habitually dismissing classes early; absence from the campus without clearance; deliberately missing class; failure to comply with deadlines for no-shows, grade submission, and retention initiatives such as using the early alert system.
- c. Failure to obey the law as materially and adversely to affect one's value or usefulness to the College (e.g. use of illegal substances, purchasing alcohol for a minor and/or providing alcohol to any student on College grounds or on any College-sponsored activity or trip).
- d. Insubordination or non-cooperation affecting professional effectiveness or working relationships within the institution; failure to observe defined or established institutional channels; failure to follow institutional policies and procedures; unwillingness to accept supervision; failure to follow administrative directives, written or oral, when such administrators are acting within their province of authority or discretion.
- e. Failure to meet the standards or requirements of a formal Plan of Improvement.
- f. Encouragement of or participation in student protest matters or other activities inconsistent with the harmonious conduct of college activities, business, or other affairs; attempting to involve or involving students in staff, staff-administrative, personal, or other controversies within the institution; actions or activities adversely affecting the institution's relationship and rapport with outside agencies, offices, organizations, institutions, constituency, or the general public or groupings thereof.
- g. Inability or unwillingness to adjust to changes in the institutional program, philosophy, or purposes.
- h. Bona fide lack of need for one's services – e.g. the program of tenured faculty is discontinued.
- i. Bona fide necessity for reduction in faculty force (e.g. RIF).

- j. Normal retirement as defined in other Board policies.
- k. Significant weaknesses or gaps in professional performance revealed in the evaluation process as referred to in Section 4.3.

For infractions of any of the foregoing list of causes by tenured faculty, the Vice President for Academic Affairs may have the option of returning the faculty member to probationary status when such an action is merited as an alternative to dismissal.

The decision of the Vice President for Academic Affairs to return a tenured faculty member to probationary status must be approved by the President. A tenured faculty member informed of such action or recommendation may request a hearing before the President, who may also appoint a hearing committee of three tenured faculty to meet within thirty (30) days of notification of the status change. The request for a hearing shall be in writing, made through the President, and shall summarize in concise form the reasons for requesting such a hearing. Both action on the request and the conduct of a hearing, if allowed, shall be fully within the discretionary province of the President. The judgment of the President in such cases shall be final, including their right to alter the recommendation of the Vice President for Academic Affairs to a dismissal action.

In dismissal procedures involving tenured faculty, at whatever time the action is taken, it is expected that such employee(s) shall be informed by the Vice President for Academic Affairs of the reasons for this action and has thirty (30) days to request a hearing before the President. This request shall be in writing and shall state concisely and in summary form the principal points of defense and main reasons why a hearing should be held. The granting of such a hearing and the form of its conduct is at the discretion of the President whose decision is considered final. The decision and judgment of the President relating to the interpretation of terms of this policy and to the discharge or removal of a faculty member shall be final for all purposes.

These regulations are a part of all future employment conditions by implications, whether or not referred to specifically in letters and contracts.

Northwestern Oklahoma State University

NORTHWESTERN OKLAHOMA STATE UNIVERSITY
TENURE POLICY
2018-2019

Academic Tenure.

(a) Tenure is a privilege and a distinctive honor. Tenure is defined as continuous reappointment which may be granted to a faculty member in a tenure-track position, subject to the terms and conditions of appointment. The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the university. While specific responsibilities of faculty members may vary because of special assignments or because of the particular mission of an academic unit, all evaluations for tenure shall address at a minimum whether each candidate has achieved excellence in: (1) effective classroom teaching; (2) scholarly or creative achievement; (3) contributions to the institution and profession; and (4) performance of non-teaching or administrative duties. The university may formulate standards for this review and determine the appropriate weight to be accorded each criterion consistent with the mission of the academic unit.

(b) Tenure is granted by the Board of Regents of the Regional University System of Oklahoma upon recommendation of the university president. Determination of merit and recommendation for granting tenure shall comport with the minimum criteria and policies and procedures contained in this chapter.

(c) The terms and conditions of every appointment or reappointment shall be stated in writing and be in the possession of both the institution and faculty member before the appointment is consummated. Tenure shall be granted only by written notification after approval by the Board. Only full-time faculty members holding academic rank of assistant professor, associate professor, or professor may be granted tenure. Qualified professional librarians shall be considered faculty members if they are given academic rank.

(d) Tenure does not apply to administrative positions, but a tenured faculty member appointed to an administrative position retains tenured status previously granted as a member of the faculty.

(e) The Board intends that tenured personnel are reappointed to the faculties of the institutions under its control within existing positions that are continued the next academic year. The Board reserves the right to terminate tenured faculty at the end of any fiscal year if the Legislature fails to appropriate or the Oklahoma State Regents for Higher Education fails to allocate sufficient funds to meet obligations for compensation.

(f) The Board recommends that not more than sixty-five percent (65%) of the full-time faculty at the university receive tenure.

Periods of Appointment and Tenure.

(a) Faculty members holding academic rank above the level of instructor or lecturer (assistant professor, associate professor, or professor) shall be on probation for a minimum of five (5) years after date of first being employed by the university in a tenure track position. Years of experience in any position other than a tenure track position may be used for the probation only if approved by the university president. Seven (7) years shall be the maximum probationary period for the eligible faculty

member to become eligible for tenure. If, at the end of seven (7) years any faculty member has not attained tenure, there will be no renewal of appointment for the faculty member unless a specific recommendation for waiver of policy from the president to the contrary is approved by the Board each year.

(b) For the purpose of determining probationary employment of faculty members for tenure consideration, sabbatical leave counts as a part of the period of probationary employment, and a leave of absence is not included as part of the probationary period.

Procedure for Granting Tenure and Reviewing for Tenured Faculty.

(a) When a faculty member is to be considered for tenure, the dean of faculty shall call meetings of the tenured faculty of each school for a discussion of the case. The faculty member's contributions to the mission of the university shall be reviewed and evaluated by the tenured members of his/her school and by the dean of faculty, and a poll by secret ballot will be taken to determine whether a recommendation for the granting of tenure will be made. The results of all balloting will be confidential and will not be included in the faculty member's personnel file. This review may be conducted in a manner that allows for input from non-tenured colleagues, students, alumni, and administrative information from the department and/or school. In the event that the number of tenured faculty members in a school is fewer than five (5), the tenured members in that school and/or department, plus additional tenured faculty members appointed by the vice president for academic affairs or his/her designee to form a group of at least five (5) tenured faculty members, shall act as an ad hoc committee for tenure recommendation. A simple majority rule shall prevail. The dean of faculty will then report the results of the vote and the department/division chair's recommendation, separate from his/her recommendation, to the vice president for academic affairs. The vice president for academic affairs will report these recommendations as well as his/her recommendation to the president.

The university may establish a process to have additional tenure committee(s) at the college and or university level. A recommendation for tenure may also come directly from the vice president for academic affairs or from the president of the university without prior recommendation from the school. If the president elects to recommend granting of tenure, s/he will make the recommendation to the Board.

(b) The academic and professional performances of each tenured faculty member must be reviewed at least every three (3) years. When the review results in a finding that a tenured faculty member's academic and professional performance is unsatisfactory, the faculty member shall be notified of the deficiencies in performance and must be reviewed again within one (1) year. The results of each review will be placed in the personnel record of the tenured faculty member. The tenured faculty member should be given a copy of the review and an opportunity to respond. Two consecutive unsatisfactory post-tenure performance evaluations will be grounds for dismissal or suspension.

(c) At the beginning of the academic year in which tenured positions are available, the vice president for academic affairs shall notify the individuals eligible for tenure and the number of positions available and request they provide their part of the information for evaluation. The vice president for academic affairs will also ensure that other evaluation data is collected from appropriate sources. Three weeks prior to the time at which the vice president for academic affairs will need the tenure recommendation, the evaluation information package will be forwarded to the school evaluation committee for their consideration.

The evaluation information consists of faculty member's portfolio, course and instructor evaluation scores, and overall composite ratings.

Note: The need to develop and retain the highest quality of faculty takes precedence over considerations of individual seniority.

Termination of Appointment and Dismissal.

No tenured member of the faculty shall have his/her appointment terminated in violation of the principles of tenure adopted by the Board except for one or more causes which may include, but are not limited to, the following:

- a. Committing a felony or other serious violation of law that is admitted or proved before a court of competent jurisdiction, preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities, or violation of a court order which relates to the faculty member's proper performance of professional responsibilities.
- b. Moral turpitude.
- c. Insubordination.
- d. Professional incompetence or dishonesty.
- e. Substantial or repeated failure to fulfill professional duties or responsibilities or substantial or repeated failure to adhere to Board or university policies.
- f. Behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities.
- g. An act or acts which demonstrate unfitness to be a member of the faculty.
- h. Falsification of academic credentials.
- i. Two consecutive unsatisfactory post-tenure performance evaluations.
- j. Bona fide lack of need for one's services in the university.
- k. Bona fide necessity for financial retrenchment.
- l. Discontinuance of a program or department.

Suspension of a Tenured Faculty Member.

The president of the university shall have the authority to suspend any faculty member formally accused of causes a, b, c, d, e, f, g, h or i (listed in paragraph 3.3.6). The president shall notify the General Counsel of the Board in writing of the terms and conditions of the suspension within 30 days of notifying the faculty member. A faculty member should be suspended only if harm to the faculty or

students is possible or disruption of proper conditions for teaching and learning are threatened by the faculty member's continuance. During the suspension period, compensation for the suspended person should be continued. If during the suspension period the faculty member is convicted of or admits to the commission of a felony or a crime involving moral turpitude or other serious violation of law referenced above, the institution shall not continue compensation.

Dismissal of a Tenured Faculty Member for Cause.

Dismissal proceedings shall begin with a conference between the faculty member and the appropriate academic officer. The conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of the tenured faculty member and the university would be served by the faculty member's resignation. If this conference does not result in mutual agreement, the academic officer will submit a recommendation in writing with rationale to the faculty member and to the vice president for academic affairs. Within fourteen (14) days, the vice president for academic affairs should have a conference with the faculty member. At the conclusion of the conference the chief academic officer will make a written recommendation to the president with a copy to the faculty member.

Dismissal of Tenured Faculty for Program Discontinuance or Financial Retrenchment.

A faculty member with tenure whose position is terminated based on bona fide lack of need for one's services in the university, or necessity for financial retrenchment, discontinuance of a program or department will be given five (5) months written notice unless an emergency arises.

Before terminating an appointment because of discontinuance of a program or department, or because of other lack of need of services, the university will make reasonable efforts to place affected members in other suitable positions.

If an appointment is terminated because of financial retrenchment, or because of discontinuance of a program, the released faculty member's position will not be filled by a replacement within a period of two years, unless the released faculty member has been offered reappointment at the previous status.

Appellate Committee on Dismissal of Tenured Faculty Members.

A faculty member who receives notice of recommendation of dismissal by the Chief Academic Officer may request and shall be afforded a hearing before the Appellate Committee on Dismissal of Tenured Faculty Members. Failure to make a request in writing to the president within fourteen (14) days after receipt of notification shall constitute a waiver by such faculty member of his/her right to a hearing before the Appellate Committee on Dismissal of Tenured Faculty Members and the president shall then make a final determination. Each university shall institute an Appellate Committee on Dismissal of Tenured Faculty Members. The committee shall not exceed nine (9) tenured faculty members, eight (8) of whom shall be nominated or elected by the faculty governing body of the university and one member appointed by the president of the university. A quorum shall be five (5) members or a majority of qualified members of the committee. Initially, one-half (1/2) of the elected members shall be elected for twelve (12) months and one-half (1/2) shall be elected for twenty-four (24) months; thereafter, one-half (1/2) shall be elected each year. No member may serve more than (2) two consecutive terms. One (1) or more alternate members of the committee shall be elected to serve in

the event a regular member is unable to serve. If any member of the committee is an interested party in a case which comes before the Appellate Committee on Dismissal of Tenured Faculty Members, said committee member shall not serve on that case.

The incumbent committee shall serve until the completion of any case pending at the time their term of service expires.

The decision of the committee will be based on majority vote. Prior to any hearings the committee will hold an organizational meeting at which time the committee will at a minimum elect its own chair, who will have the right to vote.

Appeal Procedures for Tenured Faculty.

(a) After a faculty member has requested a hearing before the Appellate Committee on Dismissal of Tenured Faculty Members, service of notice of hearing with specific charges in writing will be made at least twenty (20) days prior to the hearing. The faculty member may respond by waiving the hearing and filing a written brief or the matter may proceed to a hearing. If the faculty member waives hearing, but denies the charge or asserts that the charges do not support a finding of adequate cause, the Appellate Committee on Dismissal of Tenured Faculty Members will evaluate all available evidence, including testimony and documentary evidence presented by the university, and make its recommendation upon the evidence in the record.

(b) If the faculty member requests a hearing, the Appellate Committee on Dismissal of Tenured Faculty Members shall, with due diligence, considering the interests of both the university and the faculty member affected, hold a hearing and report its findings and recommendations to the university president and to the involved faculty member.

(c) At hearings before the Appellate Committee on Dismissal of Tenured Faculty Members, faculty members and the university shall be permitted academic advisors and/or counsel. A court reporter will be retained by the university to record the proceedings. Parties will pay the cost of a copy of the transcript. The committee will determine whether the hearing should be public or private.

(d) The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the university will attempt to secure the cooperation of such witnesses and will make available necessary documents and other evidence within its control. No employee of the institution, regardless of position, should be excluded or excused from appearing before the committee, if available.

(e) The hearing will begin with the Chief Academic Officer presenting the case for dismissal and continue with the faculty member presenting the case against dismissal. Each side may introduce evidence and/or call witnesses as desired. The faculty member and the university will have the right to cross-examine all witnesses present. Depositions are admissible whenever a witness cannot appear.

(f) The committee may conclude: a) that adequate cause for dismissal has been established by the evidence; b) that adequate cause for dismissal has not been established by the evidence; or c) that adequate cause for dismissal has been established, but an academic penalty less than dismissal, including removal of tenure, would be more appropriate. The committee may make any other

recommendations it determines are appropriate. The committee's findings and recommendations shall be made to the university president. The committee shall send a copy of its findings and recommendations to the affected faculty member.

(g) The president shall notify the affected faculty member of the president's recommendation to the Board. The faculty member shall have the right to request the Board to review adverse findings and recommendations of the president. The request must be in writing and filed within fifteen (15) days after final notification by the president of the university at the office of the Regional University System of Oklahoma. If the affected faculty member does not timely request that the Board review the president's findings and recommendations, the president's determinations become final and binding.

(h) In the event the faculty member submits a timely request to the Board to review adverse findings and recommendations of the president, the faculty member must indicate whether he/she desires a hearing of all of the evidence of the case, otherwise the review will be a review of the record of the case. The Board has the discretion to determine whether the review will be a *de novo* hearing or a review of the record. The Board may retain a hearing officer to conduct the review and make recommendations to the Board.

(i) Public statements and publicity about the case by the university will be avoided until the proceedings, including consideration by the Regents, have been concluded.

Disciplinary Action Other Than Dismissal or Suspension Process.

Disciplinary action affecting the terms of employment taken by the university against a tenured faculty member must be based upon causes stated in this chapter, or any other adequate cause which related directly and substantially to the fitness of the tenured faculty member to perform professional duties. Disciplinary action shall begin with a conference between the tenured faculty member and the appropriate academic officer. If as a result of the conference, the academic officer finds that disciplinary action is warranted, a written recommendation for action should be forwarded to the dean of faculty. If, after review, the dean decides not to proceed with further disciplinary action, both parties should be notified in writing. If the dean determines that additional action is warranted, then a conference with the tenured faculty member should be arranged. The dean may determine that no further action is necessary. If, however, additional action is warranted, the faculty member and the vice president for academic affairs shall be notified in writing within fourteen (14) days. The vice president for academic affairs should arrange for a conference with the faculty member. The vice president for academic affairs may then determine that no additional action is necessary.

However, the vice president for academic affairs should notify the faculty member in writing if an additional plan of disciplinary action is made. A copy of the disciplinary action should be placed in the faculty member's personnel file.

Oklahoma City Community College
(no policy)

Oklahoma Panhandle State University

2.2 FACULTY TENURE

2.2.1 Definition of Tenure

Tenure is not guaranteed to any member of the faculty, but may be conferred upon meritorious and deserving faculty members upon the recommendation of the President and the approval of the Regents. Tenure is the right to expect continued employment by the University as a member of the faculty, subject only to dismissal for cause (and after appropriate due process steps have been engaged in as set forth in this Handbook), or for reasons of financial exigency or bonafide lack of need for or lack of funding sufficient to support the program or area of academic expertise in which the faculty member has been employed to provide. The concept of tenure does not apply to administrative positions. A tenured faculty member appointed to an administrative position may retain his/her tenure as a faculty member if approved in writing by the President of the University.

2.2.2 Appointment to Tenure

Faculty members holding the ranks of Professor or Associate Professor may be appointed to tenured status upon recommendation of the President of the University and approval by the Regents. Tenure status requires an affirmative action by the Regents in all instances and may not be conferred upon faculty members holding the rank of Assistant Professor. In order to be considered for tenure, a faculty member must have first served the University for four consecutive years, with appointment for the succeeding year. A recommendation for tenure from the Rank and Tenure Committee requires a positive vote of at least 2/3 of the Committee. The academic vice president will provide any current “plan of improvement” in effect for any applicant for tenure. In order to be fully considered for tenure, applicants must supply evidence to prove the minimum qualifications for tenure in their promotion packet. These same qualifications appear on the applicant’s tenure readiness form.

1. Effective teacher
2. Difficult to replace with similarly qualified instructor
3. Possesses high ethics
4. Positively contributes to OPSU’s reputation
5. Cooperates with administration and peers
6. Holds a terminal degree from a regionally accredited university.
7. Participates in professional activities

2.2.3 Loss of Tenure

No tenured member of the faculty shall have an appointment terminated in violation of the principles of tenure adopted by the Regents except for cause.

2.2.4 Termination of Tenured Faculty

Any tenure-track faculty member or tenured faculty appointment may be terminated for the following:

- ◆ Incompetence in performing or in meeting appropriately assigned responsibilities or refusal to perform such duties as appropriately assigned;
- ◆ Neglect of duty as indicated by failure or continued failure to sufficiently perform in accordance with applicable terms and conditions of employment, which includes the standards or requirements described in University or Board of Regent policies;
- ◆ Serious and apparently intentional misuse of University property and resources;
- ◆ Academic dishonesty;
- ◆ Acts of moral turpitude;
- ◆ Deliberate and grave violation of the rights or freedoms of fellow faculty members, administrators, or students;
- ◆ Willful obstruction or disruption or attempts to obstruct or disrupt the normal operation of functions of the University or advising or procuring, or actively encouraging others to do so;
- ◆ Financial exigency;
- ◆ Repeated violation of institutional policies;
- ◆ Failure to follow reasonable directions from the administration;
- ◆ Sexual harassment of faculty members, staff members, administration, students, or others;
- ◆ Felony conviction;
- ◆ Or other improper conduct which is seriously injurious to the best interests of the University or its components.

A tenured faculty member has the right to a University-level pre-termination review in the case where a termination action occurs.

Oklahoma State University

Oklahoma State University Policy and Procedures

CUMULATIVE REVIEW OF TENURED FACULTY

2-0109
ACADEMIC AFFAIRS
December 2007

POLICY

1.01 For each tenured faculty member a cumulative review shall take place every five years. A review conducted to grant promotion qualifies as a cumulative review. The review shall be based on discussion and substantive documentation provided by the faculty member. Individuals designated to conduct the review shall be faculty in the discipline or department of the faculty member under review. Faculty serving on review committees shall be selected by procedures approved by the department or unit. The review process shall include written feedback to the faculty member as well as a provision for response. Written feedback shall be a detailed description of the faculty member's accomplishments or deficiencies. The cumulative review requires individual development plans for each faculty member. Faculty members are responsible for their own development consistent with unit, College and University goals. Any formal development plan should respect academic freedom and professional self-direction, and it should be flexible enough to allow for subsequent alteration.

1.02 The results of a Cumulative Review of Tenured Faculty may be used by appropriate administrators as a basis for providing support which will assist faculty members in carrying out their professional goals and responsibilities. Any disciplinary action that may follow the cumulative review must adhere to all prescribed procedures in force within this policy document. In the event that unsatisfactory performance has not improved within the timelines set in the individual development plan, any dismissal action shall be based upon those grounds for dismissal specified in the January 2006 Board "Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University."

1.03 If a faculty member believes that the results from a cumulative review are based on unlawful discrimination, inadequate consideration, or legitimate exercise of academic freedom, he/she may request a review of the matter utilizing the Dispute Resolution Procedure in Appendix E of this policy document.

Source: "Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University," January 23, 2006, Section 1.1.5.2.

PROCEDURE

2.01 **Faculty Subject to Cumulative Review.** A Cumulative Review shall take place for each and every tenured faculty member every five (5) years. A promotion review, including a review for Regents Professor, may be substituted for a cumulative review. The cumulative review may be rescheduled due to a leave of absence, sabbatical, administrative assignment outside the academic unit, or other extenuating circumstances as determined by the unit.

The unit may waive the cumulative review for faculty who have given formal notice of their retirement or resignation.

2.02 Cumulative Review Schedule. Each unit shall develop, maintain, and annually distribute to all tenured faculty members a schedule specifying the year during which each tenured faculty member is to undergo cumulative review.

2.03 Cumulative Review Committee. Each unit shall designate a committee of tenured faculty charged with conducting cumulative reviews for tenured faculty within the unit. Written procedures developed and approved by faculty in the unit shall prescribe committee selection procedures, qualifications for committee membership, selection of the committee chair, terms of member appointments, provisions for replacing members unable to serve, and representation from other academic units if there are tenured faculty with split appointments within the unit.

2.04 Review Criteria. The faculty of each academic unit shall develop and formally approve written performance standards and expectations for each tenured faculty rank within the unit. In those cases in which work assignments for tenured faculty members vary greatly within a given unit or are split between units, it will be necessary to specify performance standards and expectations for individual positions. After approval by the dean of the academic unit and the Vice President for Academic Affairs, a copy of the performance standards and expectations for tenured faculty shall be given to each tenured faculty member and be applied in the cumulative review of all tenured faculty in the unit.

2.05 Documents and Information Used in the Review. Faculty in the academic unit shall develop and approve a list of documents and information that shall be used in conducting the review. At minimum, the list should include the following documents:

- A. a current curriculum vita;
- B. the annual appraisal and development documents for the period under review;
- C. a copy of the faculty member's last cumulative review report or promotion recommendation;
- D. an individual development plan stating the faculty member's professional goals and objectives for the next review period.

The list shall be provided to each tenured faculty member. The faculty member under review is responsible for providing the documents and information to the committee.

The faculty member or the committee may request an interview for the purpose of discussing and clarifying the documentation.

2.06 Development and Disposition of the Cumulative Review Report. The committee shall prepare a written report that assesses the faculty member's overall performance during the review period in terms of the academic unit's performance standards and expectations.

The committee shall submit its report to the faculty member under review and the unit administrator. The faculty member and the unit administrator shall be given ten (10) working days to respond to the report in writing, and the committee may revise its report based on the faculty member's response and the unit administrator's response.

A final copy of the committee's report, the faculty member's response, and the unit administrator's response, if one is submitted, shall be provided to the faculty member and the unit administrator. These documents along with those listed in 2.05 shall be included in the faculty member's personnel file.

Unit administrators shall report the summary results of cumulative reviews to their dean on an annual basis.

2.07 **Rewarding Faculty for Outstanding Performance.** The cumulative review process should identify and recognize outstanding performance by faculty members. The report may be used by appropriate administrators as a basis for supporting faculty members in carrying out their professional goals and responsibilities and compensating those with outstanding performance.

2.08 **Corrective Development Plan.** For faculty members whose overall performance reflects substantial deficiencies, the committee in cooperation with the unit administrator and the faculty member shall develop a corrective plan to improve performance and address deficiencies. The plan should be individualized and flexible; taking into account the faculty member's intellectual interests, abilities, and career stage, as well as needs of the unit and institution. The plan should establish clear performance goals, specify steps designed to achieve those goals, define indicators of goal attainment, establish a clear and reasonable time frame for the completion of goals, identify resources available for implementation of the plan, and state the consequences of failure to attain the goals.

The annual appraisal and development review should be used to assess progress toward goals specified in the plan.

2.09 **Dispute Resolution.** If a faculty member believes that the committee report, the corrective plan, or administrative actions taken as a result of the cumulative review are unfair or that they fail to honor the legitimate exercise of academic freedom, he/she may request a review of the matter utilizing the policies and procedures outlined in the "Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University" (January 2006).

Grounds for dispute may include unlawful discrimination, inadequate consideration, and others listed in Section 2.3 of the Dispute Resolution Policy. Dispute resolution procedures are outlined in Appendix E: Dispute Resolution Procedure.

2.10 **Disciplinary Action.** The purpose of cumulative review is to promote faculty development. Any disciplinary action that comes after cumulative review shall adhere to all prescribed procedures in the "Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University" (January 2006).

2.11 **Implementation Deadlines.** Unit administrators shall be responsible for meeting the following deadlines associated with establishing and conducting the cumulative review procedures.

- A. The provisions of sections 2.02, 2.03, and 2.04 shall be completed by each unit within twelve (12) months of administrative approval of this policy and procedure letter.
- B. Faculty members who have already been awarded tenure on the date of administrative approval of this policy and procedure letter shall undergo their initial cumulative review within six (6) years of the date of the administrative approval of this policy and procedure letter.
- C. Faculty members who are awarded tenure after administrative approval of this policy and procedure letter shall undergo their initial cumulative review during the fifth year following the year they were awarded tenure.

Approved:

Faculty Council, June 12, 2007

Council of Deans, June 22, 2007

Executive Team, December 2007

Oklahoma State University Policy and Procedures

REAPPOINTMENT, PROMOTION AND TENURE PROCESS FOR RANKED FACULTY

2-0902
ACADEMIC AFFAIRS
September 2015

PURPOSE

The purpose of this policy and procedures letter is to provide guidelines for the evaluation of faculty through annual evaluation, reappointment, promotion and tenure.

The ability of a university to function, progress and develop excellence depends both on the individual performance of each faculty member and on the collective performance of the faculty as a whole. The success and reputation of a university are highly dependent upon the talents that exist among its faculty and how effectively those talents are focused to accomplish the institution's mission. Accomplishing OSU's land-grant mission requires a creative, collective intermingling of individual faculty talents. Consequently, each faculty member will likely have a unique role in the institution, college and unit, and a special assignment in terms of the focus and distribution of effort among instruction, research/creative work, outreach/extension and service responsibilities.

As a land-grant university, Oklahoma State University places primary emphasis on the discovery, integration, application, dissemination, transfer and use of knowledge. Scholarly investigation is the heart of the professorate and it undergirds the mission of the land-grant system. Faculty are expected to participate continually in a broad range of scholarly activities which contribute to current knowledge in their field of expertise and which support the mission and goals of their unit, college, and university. (OSU Policy and Procedure 2-0110, Guidelines to Govern the Workload Assignment of Faculty Members) The appraisal and development process, as well as the reappointment, promotion and tenure (RPT) process, are the means used to encourage and evaluate the professional growth of individual faculty members. The goal is to attract, retain and reward those faculty who demonstrate excellence.

Faculty Evaluation. The evaluation process at Oklahoma State University is designed to assist the institution in attracting promising faculty members, to help them reach their potential, to retain only the outstanding faculty and to reward their proficiency. Evaluation of the performance of faculty members is also conducted for the purpose of compensation review and at the appropriate times for the purpose of reappointment and/or for the awarding of tenure and promotion. (OSU Policy and Procedure 2-0112, Faculty Appraisal and Development Program)

Promotion in Academic Rank. Initial academic rank is based on evidence that the faculty member has met the qualifications for the rank to which he/she is being appointed. Faculty members are hired to accomplish objectives of specific academic units and are to be judged accordingly. Consequently, the evaluation of faculty is to be carried out in the context of the faculty member's particular role in the institution with a clear understanding of what is expected of the individual. Accomplishments of the faculty member are judged against these expectations. Promotion in rank recognizes exemplary performance of a faculty member. The evaluation process provides an assessment of a faculty member's growth and performance since initial appointment or since the last promotion.

The evaluation process must be based on a comprehensive assessment of the candidate's record of research/creative work, teaching, outreach/extension and service. This assessment should take into account the quality of outcomes as well as their quantity; it should also acknowledge the creativity of faculty work and the impact of the faculty member's work on students, on the field(s) in which the faculty member works, and on others the university serves. Interdisciplinary work, public scholarship and engagement, international accomplishments and initiatives, technology transfer initiatives, and other special kinds of professional activity by the candidate should be considered when appropriate.

The relative importance of these criteria may vary in different academic units, and particular faculty members within units may vary in the extent to which their responsibilities emphasize one or more parts of the University's mission. Criteria against which individual faculty members are judged must reflect these varying assignments and must align with the work assignment specified in annual appraisal documents.

Academic Unit Standards. The primary responsibility for establishing the criteria for promotion and tenure rests with the academic unit. Each department or equivalent academic unit must have a document that clearly specifies (1) the indices and standards that will be used to determine whether candidates meet the requirements for tenure and promotion to Associate Professor, (2) the indices and standards that will be used to determine whether candidates meet requirements for promotion to Professor, and (3) the goals and expectations to be used in evaluating faculty performance in annual appraisal and developments.

The academic unit standards will define the criteria of teaching, research/creative work, outreach/extension and service in ways that reflect the discipline and its mission. The unit's refined criteria shall be applied to all faculty members in ways which equitably reflect a particular faculty member's responsibilities and assignments. How the unit's standards apply to a specific faculty member's duties should be made clear at the time of appointment and reviewed in the annual appraisal and development process. Adjustments in the workload expectations for faculty members may occur over time in keeping with changing institutional and personal priorities, but these must be discussed and documented in annual Appraisal and Development reviews which are signed by the faculty member and administrative head.

The unit standards serve as the basis for the evaluation of the faculty member's dossier at all levels of review. The unit standards must be consistent with university and college policies but may exceed them. Each academic unit document must be approved by a vote of all tenured and tenure-track faculty within the unit, by the appropriate college dean, and by the Provost and Senior Vice President, Academic Affairs.

- a. *Instructor.* The rank of instructor is appropriate only in disciplines where a master's degree is a commonly accepted professional degree, but is not the highest academic degree. An instructor should have earned a master's degree in his or her field and should have professional skills and expertise needed in the discipline. Such expertise should be certified by the discipline's professional organization, as appropriate. An instructor demonstrates excellent performance in teaching and other assigned duties. The record of an instructor should include maintenance of professional expertise and participation in professional organizations.

- b. *Assistant Professor.* The assistant professor rank is recognition that the faculty member has exhibited the potential to grow in an academic career in accordance with the institution's mission and the academic unit's objectives. An assistant professor should have earned the accepted highest degree in his or her field or, in exceptional cases, should have demonstrated potential via professional experience judged by the unit as beneficial and desirable for the particular appointment. In the period between appointment as an assistant professor and promotion to associate professor, terms expressed in the academic unit, college, and university standards, the letter of offer, the position description, and the annual evaluations provide guidance regarding professional development of the faculty member to peers and administrators charged with judging progress toward promotion.
- c. *Associate Professor.* To attain the rank of associate professor, the candidate must establish that he/she is an accomplished teacher, where teaching is an assigned responsibility, and that he/she has a significant record of research, artistic and/or creative work, teaching, outreach/extension and service in keeping with the academic unit, college, and university standards and his or her job responsibilities. Clear evidence should be presented that the individual has established a solid academic reputation and shows promise of further development and productivity in his or her academic field.

Promotion to Associate Professor with tenure requires tangible evidence of sustained excellence in accomplishments as measured by an appropriate assessment of his or her work, as defined in the academic unit standards. The dossier must provide tangible evidence that the faculty member shows clear promise of becoming a leading scholar, teacher, creative artist, and/or provider of outreach/extension, according to the primary assigned responsibilities. A recommendation for tenure should be based upon an assessment that the candidate has made contributions of an appropriate magnitude and quality in research/creative work, teaching, outreach/extension and service, and has demonstrated a high likelihood of sustaining contributions to the field and to the academic unit, so that granting tenure is in the long-term best interests of the academic unit and the university.

- d. *Professor.* The rank of professor, the highest rank in the university, designates that the faculty member's academic achievement merits recognition as a distinguished authority in his/her field. Professional colleagues, both within the university and nationally, recognize the professor for his or her contributions to the discipline. A professor is an outstanding member of the academic community and sustains excellent performance in teaching, where teaching is an assigned responsibility, research/creative work, outreach/extension and service in keeping with the unit criteria and his or her job responsibilities. The record of a successful candidate for professor must show evidence of sustained excellence over an extended period of time.

Promotion from Associate Professor to Professor requires tangible evidence that the faculty member has attained a national or international reputation in a field and that he or she is a leading scholar, teacher, creative artist, and/or provider of outreach/extension, according to the primary assigned responsibilities and the criteria established in the academic unit, college, and university standards. A recommendation for promotion to Professor should be based upon an assessment that, since the last promotion, the candidate has made sustained contributions of appropriate magnitude, independence and quality in research/creative work,

teaching, outreach/extension and service, and has demonstrated the ability to continue to sustain contributions to the field and to the academic unit, so that granting the promotion is in the best interest of the academic unit and the university.

Tenure. The awarding of tenure (continuous appointment) is the most significant decision made relative to an institution's future and, therefore, is the highest honor bestowed on a faculty member. The *Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty at Oklahoma State University* (hereafter referred to as the *Policy Statement*) states that tenure, a means to assure academic freedom, is indispensable to the success of the University in fulfilling its obligations to students, to the state of Oklahoma and to society in general.

Intellectual curiosity is an essential requirement for effective instruction, as well as for continuing scholarly pursuits. When tenure is conferred, it is the University's expectation that the faculty member will (1) consistently contribute to the instructional, research/creative work and/or outreach/extension mission of the University; (2) remain current and intellectually curious; and (3) continue to be a wise investment for the University. The decision is a judgment made with appropriate faculty counsel. The granting of tenure is a major decision for the institution and shall not be granted unless the faculty member has demonstrated by consistent performance that the University will benefit from making a career-long commitment to the faculty member.

PROCEDURES

1.0 OVERVIEW OF THE RESPONSIBILITIES OF PARTICIPANTS IN THE RPT PROCESS

Operationally, the function of the RPT process is to determine whether each candidate has met the detailed academic qualifications and criteria specified by his/her unit. In this process, the candidate, unit personnel committee, unit administrator, dean and academic vice president have unique responsibilities they must carry out with the highest professional integrity. Briefly the role of each participant is as follows:

Candidate. It shall be the personal responsibility of the faculty member to show that applicable qualifications for reappointment, tenure and promotion have been met. (*Policy Statement*, Section 1.2.1, Retention and Advancement) To carry out this responsibility, the candidate must develop, in cooperation with the unit administrator, a file documenting that each of the detailed qualifications and criteria of the unit have been specifically achieved. The "Development of the RPT Documentation File" form lists the documentation that must be included and should be used as a guide in the development of the file.

In the review process, some of the reviewers may not personally know the candidate and will rely exclusively on materials included or referred to in this file as the basis for their recommendation. The candidate must not assume that the reviewers will know that he/she is an excellent teacher, scholar and colleague. It is essential that the candidate include in the file all the materials necessary to document and affirmatively establish that he/she has met all applicable criteria and qualifications. Once the unit personnel committee recommendation is made, the candidate is not allowed to add or delete materials. However, the candidate is allowed to respond to each negative Statement of Recommendation and have that response added to his/her file (Section 2.3d). Candidates should be aware that the University Ombudsperson (<http://president.okstate.edu/ombudsman>;

ombuds@okstate.edu) is available for consultation throughout the RPT process.

Unit Personnel Committee. The responsibility of the unit personnel committee is to recommend whether or not the candidate has met each of the applicable criteria and qualifications for the personnel action being considered. The written recommendation to the unit administrator shall specifically address how each criterion and qualification in the academic unit, college, and university standards has or has not been met. If there is a divergence of opinion within the committee, both majority and minority opinions shall be indicated within a single recommendation letter.

The composition of the unit personnel committee and identification of those members eligible to vote on personnel actions shall be specified in the unit's RPT guidelines. These guidelines shall address the following:

- a. Voting faculty members are required to be tenure-track faculty members at the same level as, or above, that being sought by the candidate. Only tenured faculty members shall vote on reappointment and tenure.
- b. Each academic unit will formalize a mechanism by which all unit faculty may provide input to the personnel committee. The input received will be addressed in the committee's written recommendation to the unit administrator.
- c. If a unit cannot complete its personnel committee with voting faculty of appropriate rank from within the unit, members of the committee in consultation with the unit administrator will solicit faculty from similar departments or disciplines at the University to assist the personnel committee with the review and recommendation.
- d. Given that faculty from a given unit may serve on the unit and/or college level committee, they must vote only once and only at one level.
- e. A faculty member applying for reappointment, promotion or tenure may serve on a unit personnel committee, but must recuse him/herself during consideration of his/her application.

Unit Administrator. The unit administrator is responsible for making sure that the candidate and personnel committee are familiar with all relevant policies, procedures, and applicable qualifications and criteria. He/She assists the candidate in constructing the documentation file and makes a final assessment of the candidate after he/she has received the recommendation of the unit personnel committee. He/She has a special responsibility to see that all policies and procedures are rigorously followed and that the final recommendation submitted for the unit is free of bias and based on a professional application of the standards of the unit. After reviewing the candidate's materials, the unit administrator shall attach a recommendation letter which reflects his/her professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure and shall forward all materials to the dean.

College-Level Committee. Each college must have a college-level RPT committee. The committee must examine the documentation provided by the faculty member, the standards that have been adopted by the unit, and the Statements of Recommendation provided by the unit personnel committee and the unit administrator for fairness in procedure and review at the departmental level and for consistency within the college. The committee will then provide a written recommendation to the dean that indicates whether the personnel action being considered is supported. Where specific college policies so designate, the college-level committee may also be charged with including in their recommendation a professional opinion about the qualifications and merit of the

candidate for reappointment, promotion, or tenure. If there is a divergence of opinion within the committee, both majority and minority opinions shall be indicated within a single recommendation letter. Guidelines for the college-level RPT committee shall take into account the following:

- a. The committee shall consist of members of its tenured faculty elected by its tenured and tenure-track faculty. Committee members voting on a personnel action under consideration must be at the same rank as, or above, that being sought by the candidate.
- b. The composition of the committee shall be representative of the disciplines within the college.
- c. Faculty members applying for reappointment, promotion or tenure may not serve on the committee in the year of their application.

College-level policies must be approved by a vote of all tenured and tenure-track faculty within the college, by the appropriate college dean, and by the Provost and Senior Vice President, Academic Affairs.

Dean. The dean has several vital responsibilities both prior to and during the evaluation process. He/She works continuously with departments, making sure the academic unit standards for reappointment, promotion and tenure are clear and consistent with the level of excellence expected in the college and university and that the department's emphasis on differing aspects of faculty activities matches the role the department plays in the college and university. He/She provides explicit and detailed guidance regarding the type and quality of documentation that will be required of candidates whose applications for reappointment, promotion and tenure are to be forwarded to the Provost and Senior Vice President. Upon receiving recommendations from departments, the dean, with input from the college-level committee, shall carefully review the candidate's documentation file, including the recommendations of the unit personnel committee and unit administrator. He/She shall make a professional assessment regarding whether (1) the department's evaluation of each candidate has been rigorous, fair and based on departmentally approved criteria and standards, (2) the documentation provided adequately supports the recommendations of the unit, and (3) the action recommended by the unit is warranted. Additionally, after reviewing the candidate's materials, including all internal and external input, the dean's recommendation letter shall reflect his/her professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure. This written report will be added to the documentation file and forwarded to the Provost and Senior Vice President as part of his/her Statement of Recommendation.

Provost and Senior Vice President. The Provost and Senior Vice President, Academic Affairs, (VPAA) is responsible for examining the files and Statements of Recommendation written by all involved groups and administrators. The VPAA may seek additional counsel from the university-wide faculty committee and others as deemed appropriate, e.g., the Faculty Committee of the Faculty Council, the Vice President for Research and Technology Transfer, the Associate Provost for Undergraduate Education and/or the Associate Provost for Graduate Education. It is the responsibility of the VPAA to be certain that all applicable standards and policies that have been approved by the University have been applied fairly to each individual. Additionally, the VPAA's recommendation shall reflect his/her professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure and will be submitted to the President for recommendation to the Board of Regents.

2.0 REAPPOINTMENT, PROMOTION AND TENURE PROCESS

Prior to the beginning of the RPT process, it is recommended that faculty members, unit administrators, members of unit personnel committees and others review related sections in the *Policy Statement*:

- * Section 1.1.1, Qualifications;
- * Section 1.2, Recommendations for Faculty Appointment, Reappointments, Non-Reappointments, and Promotions;
- * Section 1.2.1, Retention and Advancement;
- * Section 1.4, Appointment and Tenure for Tenure-Track Faculty;
- * Section 1.6, Promotions in Rank; and
- * Section 1.7, Reappointment and Non-Reappointment

Reappointment, especially when tenure is conferred, is an action taken because of superior performance and the promise of continued professional and intellectual growth. It is the process upon which the quality of an academic unit depends. All faculty committees and administrators must consider the academic unit, college, and university standards and judge carefully the faculty member's past contributions and potential for future contributions when making reappointment recommendations. Promotion is a reward and recognition for performance, not longevity. Consequently, the attainment of a minimum number of years of service alone does not justify promotion.

The following steps are taken at OSU when a faculty member is being considered for reappointment, promotion and/or tenure.

2.1 Identifying RPT Candidates - On or About September 1

- a. *Notification of Process.* Early in the Fall semester, each dean receives a memorandum from the VPAA outlining deadlines and requirements for that year's RPT process. Included is a Departmental Faculty Reappointment and Tenure Report which lists faculty for whom it is believed personnel decisions must be made. This includes all faculty who are within their probationary period and are scheduled that year for review of reappointment in rank. An informational copy of the VPAA's memorandum and departmental report is shared with the unit administrator.

Informational notification is also sent by the VPAA office to each faculty member identified on the report, with a statement notifying the faculty member that his/her name has been sent forward to the dean and unit administrator and encouraging the faculty member to contact the unit administrator to verify that action will be taken as scheduled. (See Attachment 1 of this document.) Faculty will also be encouraged to review the *Policy Statement* of the Faculty Handbook and this policy and procedures letter. For reference, an overview of faculty appointment periods and time in rank is provided below.

Appointment Periods and Time in Rank. Appointment period guidelines are governed by the *Policy Statement*. This information is summarized below:

- (1) Academic appointments normally coincide with the beginning of the academic year (September 1 for 9-month appointments or July 1 for 11-month appointments). For

faculty appointed after this date but before January 1, the period of probation for tenure consideration or for renewal of appointment will commence at the beginning of that academic year. The probation period for faculty appointed on or after January 1 will commence at the beginning of the following academic year.

Except for extenuating circumstances (see Section 1.4.8 of the *Policy Statement*), the period of probation for tenure consideration shall never exceed a total of seven years of continuous appointment with the University, beginning with the initial appointment to a tenure-track position. Any credit for prior service included within the seven-year probationary period shall be agreed upon in writing at the time of employment.

- (2) *Instructor*. Faculty are appointed to the rank of instructor for a one-year period and reappointment occurs each year during the probationary period. In their first year, instructors who are not reappointed must be notified of their non-reappointment by March 1. The probationary period at the rank of instructor shall not exceed seven years, including one year of required notice in the event a non-reappointment decision is made after one full year of academic service at OSU.

When an instructor is reviewed in his/her sixth year, options at this time are: (1) reappointment at the rank of instructor with tenure effective at the beginning of the seventh year, (2) promotion to assistant professor with tenure effective on July 1 of that year, or (3) non-reappointment effective at the end of the seventh academic year.

If an untenured instructor is promoted to assistant professor at a time earlier than the sixth year, the period of probation shall commence with the beginning of the initial appointment as instructor, unless the faculty member requests and is granted an extension of the probation period. The initial appointment as assistant professor will vary depending on the number of years served as an instructor: (1) with five years as instructor, promotion would result in a two-year appointment as assistant professor; (2) with four years, the appointment to assistant professor would be for three years; (3) with three years, the appointment would be for four years; (4) and with two years as an instructor, the appointment to assistant professor would be for four years, and a second probationary term of one year is permitted.

If an instructor is promoted to assistant professor after only one year, resulting in an initial four-year appointment as assistant professor, a second probationary term of two years is permitted.

In all cases, decisions will be made in the sixth year and any non-reappointment decision would be effective at the end of the seventh year, thus providing the required one year notice of termination.

- (3) *Assistant Professor*. At the time of initial appointment, the first appointment period for an assistant professor is four years. Reappointment may be granted for three additional years. This allows for a maximum seven-year probationary period as an assistant professor.

In the normal process, two actions are required for an assistant professor. The first action is the review for reappointment, which occurs during the third year in rank as assistant professor. Options at this time are: (1) first reappointment as an assistant professor for three additional years or (2) non-reappointment. Either action would be effective at the end of the following year (fourth year). For non-reappointment actions, this timing allows for the required one year's notice of termination and would be effective at the end of the fourth year in rank (which coincides with the end of the initial four-year appointment period).

The second action occurs during the sixth year in rank as an assistant professor. Options are: (1) promotion to associate professor which confers tenure or - (2) non-reappointment. - The non-reappointment would be effective at the end of the seventh year in rank and provides the required one year's notice of termination.

- (4) *Associate Professor*. When an individual is initially appointed at OSU into the rank of associate professor (without tenure), the initial appointment period is normally for five years. During the fourth year in rank a recommendation must be made to: (1) reappoint as associate professor which confers tenure; (2) promote to professor which confers tenure; or (3) not reappoint and give the required one year's notice of termination. A special tenure review may be made after one year of service (see *Policy Statement*, Sections 1.4.5 and 1.4.2.d). In extraordinary circumstances tenure may be expressly granted at the time of initial appointment.
 - (5) *Professor*. When an individual is initially appointed to the rank of professor, tenure is often granted at the time of appointment. However, a probationary period, not to exceed three years, may be specified. If a probationary period is specified, then a special tenure review must be completed at least one year before the end of the probationary period, so that the required one year's notice of termination can be given should the review result in a decision not to grant tenure.
 - (6) Any action recommended by the unit administrator that is prior to the normal time line outlined in this section is considered an *early action*. Positive early actions will require justification based on *exceptional* performance.
- b. *Verification of RPT Report*. To help maintain confidence in the Departmental Faculty Reappointment and Tenure Report, it is the responsibility of the dean and unit administrator to examine the departmental reports for completeness and accuracy. The dean transmits the appropriate portion of the tenure report to each academic department. The unit administrator is asked to verify information regarding reappointment, promotion or non-reappointment for each person flagged and for those not flagged but scheduled for review. The unit administrator shall review, record, initial and return corrections in the report to the dean's office. Corrected reports are submitted in the Spring to the VPAA office when all RPT actions for the college are delivered by the dean.

2.2 Preparing RPT Documentation File - On or About September 15 - January 15

Faculty members should be notified by the unit administrator on or about September 15 that they have through January 15 to assemble and submit materials believed helpful to a full review. It is the

responsibility of the faculty member and the unit administrator to prepare a documentation file clearly summarizing the history of the faculty member's appointment before any deliberations begin regarding reappointment, promotion and/or tenure. Since only limited changes can be made to the candidate's documentation file after the unit personnel committee votes (Section 2.3), care must be taken if the candidate has pending administration actions. Examples include research misconduct investigations or a pending appeal of a sanction. In these cases, the VPAA will have the option to delay the assembly of the candidate's documentation file and the unit personnel committee's vote until after these issues have been resolved. Such a delay can also be requested from the VPAA by the candidate, the unit administrator or other relevant parties.

The OSU Reappointment, Promotion/Tenure Recommendations Form, "Development of the RPT Documentation File," (RPT form) is used as a guide in preparing materials and is a required document in each candidate's packet. The form is completed as follows:

- a. The unit administrator must ensure that all dates of academic appointments, reappointments and promotions while at OSU are consistent with the departmental report, employment action forms and the candidate's vita.
- b. Materials for the candidate's documentation file should be compiled and arranged by the unit administrator. The following is intended to be a minimal list of items to be provided, not necessarily a listing of the *only* items to be included.
 - (1) For those candidates who have not yet been awarded tenure, the unit administrator should provide all initial appointment documents including letter of offer, position announcement and/or description.
 - (2) A statement describing the work assignment within the University (teaching, research/creative work, outreach/extension, service, administration, and/or advisement) during the time period considered for the proposed action and a summary of percentages for each category of activity should be provided by the unit administrator.
 - (3) Annual appraisal and development documents prepared by the unit administrator and the faculty member during the period considered for this proposed personnel action should be provided. For tenured faculty, only the documents for the three most recent formal appraisals need be included. Any written statement submitted by the faculty member as a part of, or in response to, the appraisals should be included. If the faculty member has appealed any of the appraisals to the dean, the dean's written resolution of the appeal should be included.
 - (4) Sanctions that are in the personnel file shall be included.
 - (5) The unit administrator should provide written statements, if any, documenting either special achievements or deficiencies related to the proposed personnel action.
 - (6) Records of sabbatical or other periods of leave (not to include annual leave) should be included by the unit administrator.

- (7) The unit administrator should ensure that copies of all applicable departmental standards, policies and procedures for reappointment, promotion and/or tenure decisions are provided. Major revisions of the above which have occurred during the tenure of the faculty member and which may affect this personnel action must be indicated.
- (8) The documentation file for a candidate being considered for tenure and/or promotion should include a minimum of three letters from external reviewers who have been asked to evaluate the candidate's accomplishments and potential. Units may require additional external appraisals where appropriate or desirable for their disciplines. External evaluators should be leading scholars in their disciplines and especially knowledgeable about the candidate's areas of expertise. The three required external reviews must be obtained from individuals with no direct professional or personal interest in the advancement of the candidate's career (for example, they should not be former advisors or mentors, and generally should not be co-authors or co-investigators on previous work). The file must specify clearly the relationship of each external reviewer to the candidate and should contain a brief description of each external reviewer and his or her credentials. All solicited external review letters received before the deadline must be included in the file.

All units shall solicit outside reviews as a part of the RPT review process and shall develop rules for solicitation of such reviews that are consistent with policies of the academic college and with this document.

In determining who are selected as reviewers, the candidate should be asked to provide a slate of names; the unit administrator and the unit personnel committee should also provide names; and from these two lists a group of at least three should be selected in a fair and objective manner for contact. The candidate may also specify the names of persons who should not be considered as possible reviewers, provided he or she specifies valid personal or professional reasons for the exclusion.

External review letters will be used by departmental personnel committees, department heads, school and college personnel committees, deans, and other University administrators for personnel decisions with respect to tenure and promotion.

A copy of the letter that is sent to external reviewers shall be provided to the faculty member and included in the documentation file. Units should be careful to allow sufficient time to gather outside peer review letters so that they can be included in the file by January 15.

A candidate may waive the right to access outside reviews. Such waivers shall not be assumed, implied or coerced, and must be executed in writing prior to solicitation of outside reviews (see Attachment 2 of this document). The scope of the waiver shall be clearly indicated in writing prior to solicitation of outside reviews. A copy of the executed waiver shall become a part of the documentation file. Any letter soliciting an outside review shall inform the potential reviewer of the extent to which the contents of the review will be known to the candidate.

- c. The following materials for the RPT documentation file should be provided by the faculty member. This is intended to be a minimal list of items to be provided, not necessarily a listing of the *only* items to be included.
 - (1) A current vita including a complete list of publications, instructional accomplishments, other creative activities and important achievements should be provided by the faculty member. Reprints of publications need not be included; however, it is helpful if the faculty member designates which publications are in refereed journals. Documentation of instructional accomplishments could include teaching awards, peer evaluations, course syllabi and tests, student evaluations, other testimonies, etc.
 - (2) Self-assessment statement(s) on instruction, research/creative work, outreach/extension, and/or service/professionalism activities are to be provided, as appropriate to the work assignment, by faculty members being considered for promotion and/or tenure.
- d. With the exception of peer review letters which the faculty member has waived his/her right to access, all materials in the documentation file should be available for review by the faculty member. Peer review letters should be placed in a colored file folder with the signed waiver form attached to the outside of the folder.
- e. If the faculty member finds that information provided by the unit administrator is incomplete or inaccurate or if there is additional documentation he/she would like reviewed, documentation should be added by the candidate to clarify and complete the file prior to the signing of the RPT form.
- f. The faculty member signs the RPT form, Section 3, which indicates that he/she has been given the opportunity to review the materials contained in the documentation file up to this point in the process, including all materials submitted by the unit administrator and faculty member, and that the file is complete. Such signature *does not* indicate that the faculty member agrees with the substance of each document. Deliberations about the recommendation on the candidate will not begin until the file is complete; therefore, the Statements of Recommendation from the unit personnel committee, unit administrator, college-level committee (if applicable), and dean *are not* included in the file at this point in the process.

2.3 Adding Additional Materials to Documentation File

- a. Materials can be added to/deleted from the documentation file until the unit personnel committee recommendation concerning the action is made. However, both the candidate and the unit administrator *must* be informed of the changes and be provided an opportunity to make additional modifications.
- b. Appraisal and development materials covering the period of time from the last appraisal and development document through the most recent fall semester shall be added to the RPT documentation file as soon as finalized. These documents shall be considered by the unit

personnel committee and unit administrator prior to making their recommendations. It is expected that this most recent material may have to be added to the file *after* the RPT documentation file is otherwise complete, and *after* the faculty member has signified in writing that the file is otherwise complete; however, unit administrators should make strenuous efforts to complete the latest A&D review for each candidate by January 15. No new documentation regarding faculty performance or accomplishments occurring after the end of the immediately preceding calendar year may be added to the file.

- c. After the Statement of Recommendation is formulated by the unit personnel committee and recorded, the only documentation that may be added, except as noted in 4 and 5, to a candidate's RPT packet are the Statements of Recommendation from the unit personnel committee, the unit administrator, the college-level committee, and the dean.
- d. The candidate will be provided an opportunity to respond to each negative Statement of Recommendation and to have that response added to his/her RPT packet. The candidate will have three working days following receipt of the Statement noting denial of the proposed action to formulate a response no longer than 1,000 words. The candidate will submit his/her response to the next higher review level, i.e., if the Statement noting denial is received from the department head, the response will be submitted to the dean's office within three working days.

At each review level, all reasonable efforts will be made to notify the faculty member, in a confidential manner, of the Statement of Recommendation. However, if the faculty member is not readily available due to current assignment or is unwilling to accept sensitive documents sent via U.S. mail, the opportunity to respond to a negative Statement of Recommendation is lost. The faculty member should bear the responsibility of keeping his/her department head informed of his/her whereabouts during this critical review process.

- e. If during the review process the reviewer(s) determines that supplemental written materials are to be added to the file, all documentation, including the new materials, should be sent back to the unit administrator, who will contact the faculty member and the unit personnel committee, and restart the review process. This is to ensure that all reviewers have an opportunity to deliberate on the additional materials in the event they have a bearing on the outcome of the reviewer's recommendation.

2.4 Reviewing Documentation File and Statements of Recommendation

Once the faculty member has acknowledged the contents of the RPT documentation file, the process of seeking faculty counsel and administrative input begins. Unit administrators are charged with the responsibility of recommending reappointment, promotion, tenure and/or non-reappointment actions. They shall obtain appropriate faculty counsel prior to making these recommendations. The manner in which input and subsequent recommendations are sought is noted below.

On or About January 15 - February 14

- a. *Appropriate Faculty Review.* Appropriate faculty counsel is sought when the unit personnel committee or a special or permanent committee of faculty for the academic unit involved is to review all pertinent data for those individuals who are being considered. The committee

evaluates each individual's contributions in the three major areas of instruction, research/creative work, and outreach/extension, as appropriate. This evaluation is extensive, for the decision will have a direct bearing on the welfare of both the individual and the department. Consequently, the committee members will analyze annual appraisal forms, student evaluation summaries, journal articles and other publications, research results, and other outputs that can assess the individual's status as a professional. Standards established in the academic unit for quality as well as quantity are a matter of professional judgment in the discipline relative to the mission and role of the unit within the college and university.

After deliberating, the unit personnel committee shall prepare a Statement of Recommendation regarding reappointment, promotion and/or tenure for the faculty member. The statement must address, in specific terms, how the faculty member has or has not satisfied applicable academic unit, college, and university standards for promotion, tenure or reappointment. This statement must be added to the candidate's RPT packet prior to review by the unit administrator. Additionally, the chair of the unit personnel committee or an appropriately elected representative of the faculty will record the committee's recommendation on the RPT Summary of Recommendations form, along with his/her signature.

A copy of the unit personnel committee's Statement of Recommendation, as defined above, shall be given to the faculty member in a confidential manner, normally within five working days, after the recommendation is finalized.

- b. *Unit Administrator Review.* The unit administrator's Statement of Recommendation to the dean must address, in specific terms, how the faculty member has or has not satisfied each applicable departmental criteria for reappointment, promotion and/or tenure. The statement must detail whether or not the performance of the faculty member adequately fulfills the published academic unit, college, and university standards for the proposed personnel action. It is understood that an individual could greatly surpass some criteria and may fall short of others. Standards for quality as well as quantity are a matter of professional judgment in the discipline relative to the mission and role of the unit within the college and university. As such, the unit administrator should provide an accurate and balanced description of the person being considered. The statement of the unit administrator must be added to the candidate's RPT packet prior to review by the college-level committee, and the dean.

If the faculty member being reviewed for promotion and/or tenure also holds the position of unit administrator, it will be necessary for the dean to appoint a senior member of the departmental faculty to serve in the role of the unit administrator. The "acting" unit administrator will review the documentation file and write a Statement of Recommendation as described above. The "acting" unit administrator will also record his/her recommended action and signature on the RPT Summary of Recommendations form.

If a faculty member has a split appointment, the Statement of Recommendation is to be completed by the unit administrator of the home department after consulting with the other unit administrators to whom the faculty member reports. All relevant unit administrators are expected to sign or initial the statement. If they disagree significantly with the recommendation, the matter shall be brought to the attention of the dean of the home college for resolution of differences.

When the unit administrator is unable to act in accord with the faculty recommendation, the reasons shall be communicated in writing to the faculty committee that provided the counsel.

The unit administrator is also responsible for: (1) Ensuring that the OSU Reappointment, Promotion/Tenure Recommendation Form is complete and that all appropriate documentation is attached. (2) Preparing the Employment Action form for the proposed personnel action.

The unit administrator then transmits the documentation file to the dean of the college.

A copy of the unit administrator's Statement of Recommendation, as defined above, shall be given to the faculty member in a confidential manner, normally within five working days, after the unit administrator's recommendation is finalized.

c. *Transmittal of the RPT Documentation File:*

- (1) If a candidate is being considered for reappointment or for tenure (and promotion in the case of an assistant professor) that individual's documentation file must be forwarded to the dean for evaluation and further transmittal to the VPAA for review and action regardless of whether the recommendation is positive or negative.
- (2) If a tenured candidate is considered for promotion or an untenured candidate is considered for early tenure and promotion, and both the unit administrator and the unit personnel committee recommend against the proposed action, that individual's documentation file will not be forwarded to the dean for further consideration unless the candidate requests otherwise. However, if the unit administrator and the unit personnel committee do not agree on a recommendation, the documentation file will be forwarded to the dean for evaluation and further transmittal to the VPAA.
- (3) At any point in the process, a candidate for promotion may elect by written request to withdraw his/her name from further consideration.
- (4) It is the policy of the University that promotion of individuals is made for outstanding performance in assigned duties over a period of time. Individuals who are considered for promotion in a given year, but are not granted a promotion, may be reconsidered. However, before such reconsideration is given, it is expected that substantial change in the candidate's performance can be documented. Normally a period of two years should elapse before the candidate is reconsidered. Department heads who have candidates who wish to be reconsidered earlier must demonstrate to the dean of the college that the candidate has made substantial accomplishments since the last consideration before the review process is initiated. After review by the dean and consultation with the VPAA, the department head will be notified whether or not approval is granted for reconsideration of the candidate.
- (5) If the unit administrator's recommendation is for non-reappointment, the documentation file should be sent forward to the dean along with a DRAFT copy of the non-reappointment letter.

On or About February 15 - March 14

- d. *College-Level Committee Review.* Each college must have a college-level RPT committee constituted and functioning as described in 1.0 above. Following a review of all documents provided on each candidate, the college-level committee shall prepare a Statement of Recommendation regarding whether the department's evaluation of each candidate has been rigorous, fair and based on departmentally approved criteria and standards and, where applicable, any additional evaluations specified in approved college policies. This statement is to be added to the candidate's RPT packet prior to review by the dean. Additionally, the chair of the committee or an appropriately elected representative will record the committee's recommendation on the RPT Summary of Recommendations form, along with his/her signature.

A copy of the college-level committee's Statement of Recommendation shall be given to the faculty member in a confidential manner, normally within five working days, after the recommendation is finalized.

- e. *Dean's Review.* The dean, after reviewing all materials and other recommendations, submits his/her Statement of Recommendation to the VPAA. This statement shall assess whether (1) the department's evaluation has been rigorous, fair and based on departmentally approved criteria and standards, (2) the documentation provided adequately supports the recommendations of the unit, and (3) whether the action recommended by the unit is warranted. Additionally, after reviewing the candidate's materials, including all internal and external input, the dean's recommendation letter shall reflect his/her professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure. If the recommendation of the dean is that the action recommended by the appropriate faculty counsel or unit administrator is not warranted, the reasons must be explained in the statement. This statement shall include any confidential information that conditions his/her recommendation. Even if the recommendation of the dean agrees with that of the unit personnel committee and unit administrator, the dean is nevertheless encouraged to include in the documentation file a written statement setting forth rationale for his/her recommendation. The dean's Statement of Recommendation must be added to the candidate's documentation file, along with his/her notation of recommended action and signature on the RPT Summary of Recommendations form. The dean transmits the documentation file to the VPAA.

In addition to the RPT form and the documentation specified above, a DRAFT copy of the non-reappointment letter should be sent forward to the VPAA with all requested documentation, if the dean's recommendation is for non-reappointment.

A copy of the dean's Statement of Recommendation shall be given to the faculty member in a confidential manner, normally within five working days, after the recommendation is finalized.

On or About March 15 - May 31

Materials on all candidates under review are to be submitted to the Office of the VPAA on or about March 15 of each year.

- f. *Administrative Review.* College recommendations and documentation are submitted for review by the VPAA. In the process of his/her review, the VPAA may seek counsel as deemed appropriate, e.g., from the Faculty Committee of the Faculty Council, the Vice President for Research and Technology Transfer, the Associate Provost for Undergraduate Education and/or the Associate Provost for Graduate Education. Counsel from the Faculty Committee of the Faculty Council shall be sought for cases in which a negative recommendation by the VPAA is being considered and conflicting recommendations have come from lower levels of evaluation. Written input from the Faculty Committee of the Faculty Council and/or the individual administrators consulted will become a part of the respective candidate's packet and their Statement(s) of Recommendation will be considered by the VPAA in his/her final deliberations.

A copy of the Statements of Recommendation shall be given to the faculty member in a confidential manner, normally within five working days, after the recommendations are finalized.

It is the responsibility of the VPAA to be certain that all applicable standards and policies that have been approved by the University have been applied fairly to each individual. Additionally, the VPAA's recommendation shall reflect his/her professional judgment about the qualifications and suitability of the candidate for reappointment, promotion or tenure.

If the VPAA's recommendation is negative and differs from that of the dean, the VPAA is responsible for communicating in writing to the dean, unit administrator, and faculty member the reasons for the disagreement.

A copy of the VPAA's Statement of Recommendation shall be given to the faculty member in a confidential manner, normally within five working days, after the recommendation is finalized.

On or About June 1 – 30

Final institutional review of the personnel actions submitted by the VPAA may be conducted by the President. A list of actions is then developed which the University administration recommends to the Board of Regents for final action. Reappointments, promotions and confirmation of tenure must be approved by the governing Board of Regents except as authorized by Board of Regents' policies (e.g., see June 22, 1979, Board of Regents' policy statement). Normally, recommendations are submitted to the Board of Regents for consideration during a June meeting. When approved, the Board specifies the date on which the reappointment, promotion and/or tenure will become effective.

Non-reappointment actions are provided to the Board of Regents for "information only" when the affected faculty member actually separates from the University.

2.5 Recording Effective Dates

When the Employment Action form is prepared by the unit administrator for the proposed personnel

action, the form is to include the effective date for the action. Additionally, when all RPT actions are submitted to the OSU Board of Regents for approval, the date on which the reappointment, promotion and/or tenure is effective shall be specified. A guide for the effective date of actions follows:

- a. Reappointment to the rank of instructor is effective the *same calendar year* the RPT review is completed and on September 1 of that year for faculty on 9-month appointments or on July 1 for faculty on 11-month appointments.
- b. Reappointment to the rank of assistant professor without tenure is effective on September 1 (9-month) or July 1 (11-month) of the *calendar year following* the completion of the RPT review. As such, the effective date for reappointment coincides with the ending date of the initial appointment period.
- c. Reappointment in rank which grants tenure is effective on July 1 of the *same calendar year* as the completion of RPT review, independent of the faculty member's appointment length.
- d. Promotion in rank which grants tenure is effective on July 1 of the *same calendar year* as the completion of the RPT review, independent of the faculty member's appointment length.
- e. Promotion in rank which does not grant tenure is effective on July 1 of the *same calendar year* as the completion of the RPT review, independent of the faculty member's appointment length.

2.6 Providing Feedback to Faculty on Final RPT Action

- a. The appropriate dean shall inform the affected faculty member that: (1) a recommendation for promotion, reappointment and/or tenure *will be* presented by the President to the Board of Regents in mid- to late June, or (2) the University does not intend to continue the appointment beyond a specified date. Notification of non-reappointment must be sent on or before May 31, except in case of a non-reappointment of an instructor in the first year of appointment, who must be notified by March 1.
- b. Formal notification of Board approval will be sent to each faculty candidate from the dean and/or unit administrator relaying the final decision of his/her reappointment, promotion and/or tenure action. This notification should occur as soon as practical after, but normally within five working days of, the completion of the regularly scheduled meeting of the Board of Regents, typically in mid- to late June.
- c. Once Board approval is secured on RPT actions, all documentation files will be returned to the academic dean and will be retained intact by the academic college for one year.
- d. In order to eliminate an inadvertent breach of confidentiality, when the RPT files are returned to the respective dean's office by the VPAA's office, the external peer review letters will be removed from the file and will be retained in the dean's office (or college personnel office).

- (1) All external review letters, accompanied by the signed waiver, will be placed in a sealed envelope in the faculty member's personnel file, normally located in the college fiscal office.
 - (2) Each folder will have a notice affixed stating that these are confidential letters and may not be read by the individuals who waived their rights.
 - (3) Authorization to access these letters must be obtained in writing from the dean (the full notice is attached).
- e. The RPT files, less the external letters, will be returned to departments for retention as required by policy.

Approved by:

Faculty Council, June 1, 1999

Deans Council, November 18, 1999

President Halligan, November 22, 1999 OSU

Board of Regents, January 21, 2000

NOTE: Modifications to this policy were made in Fall 2003 to reflect the title change of the chief academic officer from Executive Vice President to Provost and Senior Vice President and identified using VPAA.

Revisions approved:

Council of Deans, Summer 2006

OSU Executive Group, September 2006

Revisions (to be effective July 1, 2014) approved:

Faculty Council, November 12, 2013 and March 11, 2014

Council of Deans, November 14, 2013 and March 13, 2014

Executive Team, January 15, 2014 OSU

Board of Regents, April 25, 2014

Revisions approved:

Faculty Council, March 10, 2015

Council of Deans, May 14, 2015

Executive Team, September 1, 2015

Board of Regents, September 4, 2015

Attachment 1

**PROPOSED INFORMATIONAL NOTIFICATION LETTER
TO BE SENT TO FACULTY**

Date

Dear Faculty Member XXX:

This is to inform you that our records identify you as a faculty member for whom a reappointment, promotion and/or tenure (RPT) decision must be made during this year's review process. A copy of the report noting this has been sent to your academic dean and unit administrator along with a memorandum from me outlining activities for this year's RPT process.

You are encouraged to contact your unit administrator as soon as possible to verify that the timing of your RPT review is correct based on departmental and college personnel records. If an action is required, please work closely with your unit administrator to ensure that appropriate documentation is included in your file. You are also encouraged to review related sections of the *Policy Statement to Govern Appointments, Tenure, Promotions and Related Matters of the Faculty of Oklahoma State University*, and specifically Sections 1.1.1, 1.2, 1.2.1, 1.4, 1.6, and 1.7. Enclosed is a copy of Policy and Procedure Letter 2-0902: Reappointment, Promotion and Tenure for Tenure-Track Faculty.

If our records are in error on this year's RPT report, please work with your unit administrator to correct appropriate dates so that the database can be updated.

Sincerely,

XXXXXX
Provost and Senior Vice President
Enclosure

Attachment 2

WAIVER OF RIGHT TO INSPECT AND REVIEW CONFIDENTIAL LETTERS OF RECOMMENDATION

I, _____ hereby

waive,

do not waive,

and renounce all rights of access, including, but not limited to, those rights established by Title 51 O.S. 24A.7 (C), to any letter or letters of reference or confidential recommendations to be hereafter written in my behalf by all peer reviewers.

This waiver is not operative and becomes null and void if at any time said letter or letters of reference or confidential recommendations are used for any purpose other than those which are specifically recommended. My specific intention is respecting an application for promotion, tenure and/or reappointment.

(Signature of Waiving Party)

(Date)

Redlands Community College



411 POLICY - Faculty Tenure

411.1 Statement of Policy

Faculty tenure is a means of recognizing excellence in the professional educator, implying an element of seniority within a department, and implying rights of due process. The process of granting tenure to eligible faculty is one means of strengthening the College as it addresses its mission. The College expects that tenured faculty will perform their instructional duties with a high level of professionalism and commitment. Promotion for faculty members is synonymous with tenure, there being no designation of rank other than that of professor. A \$5,000 base salary adjustment shall be granted with the beginning of the next fiscal year upon award of tenure. For the purpose of assuring the public, the students, and the faculty of the College's maintenance of the highest academic standards, procedures for review and evaluation of officially tenured professional faculty are published in the Procedures section of the Policies and Procedures Manual.

411.2 Eligibility for Tenure

When a person is first offered a faculty contract, the contract will state whether or not the position is tenure-track. All tenure-track faculty, who have a minimum of a master's degree with 18 hours of coursework at the graduate level in the faculty member's discipline and who have completed the three years probationary period and have been recommended for re-employment will be considered for tenure. A faculty member in a non-tenure track position may be considered for tenure, if their position is reclassified by the college administration as a tenure-track position, necessary for fulfillment of the college's mission.

411.3 Granting of Tenure

Tenure can be granted only to Faculty who are teaching full-time in an academic area or to Faculty who are employed full-time and with more than one-half of their work load in an academic area. Faculty considered for tenure must show evidence of commendable instructional performance and service. The Faculty Tenure Committee will review the tenure application materials, and vote to recommend or deny tenure. The Chief Academic Officer will present the Faculty Tenure Committee's decision to the college President, who will then submit that decision to the College Board of Regents. An official vote will take place at the next College Board of Regents meeting.

411.4 The Faculty Tenure Committee

The Faculty Tenure Committee will consist of the Chief Academic Officer and tenured faculty represented between the departments for a total of 3, 5, or 7 (inclusive of the Chief Academic Officer). The tenure committee members shall be established each year as with all standing committees. Tenure committee members will rotate, serving no more than two consecutive years unless the number of tenured faculty is not sufficient. The chairperson will be elected by tenure committee members. Each committee member has one vote and all votes are decided by majority.

Adopted 1970

Revised 1991

Revised February 2001

Revised December 2010

Revised September 2015

Revised September 2016

Rogers State University

ROGERS STATE UNIVERSITY

ACADEMIC POLICIES AND PROCEDURES MANUAL

3.4 ACADEMIC TENURE

Tenure is a privilege and a distinctive honor. Tenure is defined as continuous reappointment, which may be granted to a faculty member in a tenure-track position, subject to the terms and conditions of appointment. Tenure is granted by the Board of Regents of the University of Oklahoma upon recommendation of the President. Determination of merit and recommendation for granting tenure shall be in accordance with the tenure policies and procedures of the University as detailed in this manual.

3.4.1 Concepts and Understandings Regarding Tenure Policies

- Only full-time faculty members holding academic rank of assistant professor, associate professor, or professor may be granted tenure. In those exceptional cases when it is recommended that a faculty member be permitted to reduce his or her employment to less than full-time and maintain a tenured status, specific Regents' approval must be granted. Qualified professional librarians shall be considered faculty members if they are accorded academic rank. The highest interests of the University will best be served through collegiality, a spirit of cooperation and a sense of mutual confidence among the faculty, the department heads, the academic deans, the VPAA, and the President of the University. The procedure for recommending tenure is designed to systematize as well as to encourage such cooperation and mutual confidence.
- Tenure implies a mutual responsibility on the part of the University and the tenured faculty member. In granting tenure to a faculty member, the University makes a commitment to the faculty member's continued employment, subject to certain qualifications. The University expects that tenured faculty members will maintain the level of performance by which they initially earned tenure.
- Faculty members accorded tenure will normally commence their tenure appointments in the academic year immediately following the Board of Regents' action.
- Tenure shall be granted only by written notification after approval by the Board. Since only the Board of Regents of the University of Oklahoma may grant tenure based upon a recommendation from the University President, de facto tenure is nonexistent at Rogers State University.
- In each case where tenure is awarded, there must be assurance that continuing financial support can reasonably be anticipated. The President

shall determine whether funds are sufficiently secure to support the awarding of tenure.

- A maximum of seventy (70) percent of the full-time faculty at the University may hold tenure at any one time. In the event the seventy (70) percent limit is reached, there will be no additions to the tenured faculty at Rogers State University. However, the tenure process on campus will continue. Faculty members recommended for tenure will be placed in a priority-hold status by year pending vacancies and the standard seven (7) year probationary period listed in 3.4.2 will be suspended. As tenured positions become available, faculty members will be removed from priority-hold status and granted tenure according to the following criteria in descending order of importance: longest time on priority-hold status, longest service to the University, highest rank, and longest tenure-eligible service.
- Any exception to the policy on tenure may be granted by the President of the University consistent with policies of the Board of Regents of the University of Oklahoma.

3.4.2 Probationary Period

Faculty members shall be on probation for a minimum of four (4) years after date of first being employed by Rogers State University in a tenure track position. Years of experience in a non-tenure track position may be used towards years of the probationary period only if approved by the VPAA. After the four-year probationary period, faculty members holding the rank of assistant professor, associate professor, or professor may request tenure. Faculty members will remain on probation until either tenure is granted or seven years have elapsed. Seven (7) years shall be the maximum probationary period for the eligible faculty member to receive tenure. If, at the end of seven (7) years any faculty member has not attained tenure, there will be no renewal of appointment for the faculty member unless a specific request for a waiver of policy is approved by the President.

For the purpose of determining probationary employment of faculty members for tenure consideration, sabbatical leave is included as a part of the period of probationary employment, and a leave of absence is not included as part of the probationary period.

3.4.3 Criteria for Tenure

Providing that candidates meet the academic rank eligibility requirements for tenure, the tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the University, including the maintenance of collegial relations with other faculty, staff, students, administration and the community. While specific responsibilities of faculty members may vary because of special assignments or because of the particular

mission of an academic unit, all evaluations for tenure shall address the areas of professional activities, as outlined in Section 3.2 (teaching; research and creative/scholarly activity; and professional and University service and community engagement).

3.4.4 Tenure Process

It is the responsibility of the individual faculty member to initiate the request for tenure and to prepare the portfolio of materials. If the faculty member is requesting promotion as well as tenure, the portfolio of materials may be used for both processes. Tenure track faculty may apply for tenure two times, during their fifth, sixth, or seventh year of the probationary period. If, however, application is made during the seventh year and not granted, that is still the terminal year. The department head and the dean will advise the faculty member in preparation of this request. The following steps outline the procedures in the tenure process. A *Portfolio Transmittal Form* to certify the receipt dates and transmittal dates at each step of the tenure process must accompany the request and is available from the department head. In the event that one of the deadlines in the tenure process falls on a weekend or holiday, the deadline becomes the next working date at the University. It is the right of the individual faculty member to monitor the flow of materials through the process. At any step in the process, the faculty member may withdraw a request for tenure, but it will count as one of the two opportunities to apply for tenure following the decision of the tenure review committee.

Step 1 – By November 15, the faculty member files a written request for tenure with the department head. The request must be accompanied by a portfolio exhibiting documentation of excellence in teaching; research and creative/scholarly activity; and professional and University service and community engagement. Professional and University service include contributions to the institution and to the profession. The portfolio must include all available signed annual faculty development and evaluation documents.

A Tenure Review Committee is then formed. All tenured faculty members within the department serve as the Tenure Review Committee. In the event that the number of tenured faculty members in the department is fewer than five (5), the tenured faculty within the department plus additional tenured faculty members appointed by the dean of the school to form a group of five (5) tenured faculty members serves as the Tenure Review Committee.

The department head calls a meeting of the Tenure Review Committee to initiate discussion of the request. After each member of the Tenure Review Committee critiques the portfolio and each performance criterion, the faculty member's performance is reviewed, discussed, and evaluated by the Tenure Review Committee. This review shall be conducted in a manner that allows for input from non-tenured colleagues, tenured colleagues from outside the department, students, alumni, and administrative information from the department head or

dean. This will be accomplished in the following manner: By November 16th, each Department Head will forward through their respective Dean to the VPAA, a list of applicants for tenure. The office of the VPAA will disseminate the list to the university community, soliciting comments. All comments, if any, must be received by the Tenure Review Committee prior to November 21st. After completion of the review, a poll by secret ballot of the Tenure Review Committee is taken to determine whether a recommendation for the granting of tenure will be made. A simple majority rule prevails. The Tenure Review Committee then sends the portfolio, the tenure evaluation form, the committee's vote, and their recommendation to grant or to deny to the department head. The committee will also provide a statement in writing of their action to the candidate. All ballots are retained by the chair of the Tenure Review Committee until a final decision is reached concerning the tenure request. The ballots are then destroyed.

Step 2 – By December 15, the department head reviews the Tenure Review Committee's vote and recommendation, reviews the portfolio, and evaluates each performance criterion. The department head will consult with the Tenure Review Committee regarding their recommendation. Once this consultation is completed s/he provides the Tenure Review Committee and the faculty member a written notification of his/her recommendation (approval/disapproval). The department head then forwards all documents to the dean of the school.

Step 3 – By January 15, the dean of the school reviews the portfolio and attached recommendations, and evaluates each performance criterion. The dean must consult with the department head and/or Tenure Review Committee regarding their recommendation. Once this consultation is completed, s/he provides the department head, the Tenure Review Committee, and the faculty member a written notification of his/her recommendation (approval/disapproval). The dean then forwards all documents to the VPAA.

Step 4 – By February 15, the VPAA reviews the portfolio and attached recommendations, and evaluates each performance criterion. The VPAA must consult with the dean and/or department head and/or the Tenure Review Committee regarding their recommendation. Once this process is completed s/he provides the dean of the school, the department head, the Tenure Review Committee, and the faculty member a written notification of either his/her decision of denial of tenure with reasons or his/her recommendation of approval.

If the VPAA recommends approval of the request, he/she forwards all documents to the President.

If the VPAA denies the tenure request and the faculty member believes that tenure review procedures were not followed, he/she may appeal the action to the Faculty Appellate Committee. The appeal request must pertain solely to tenure review procedures.

Step 5 – By March 1, the faculty member must provide written notification to the

VPAA that the right of appeal is being exercised, along with the specific grounds for the appeal.

Step 6 – By March 7, upon receiving notification of appeal, the VPAA will provide this notification and the grounds for the appeal to the chair of the Faculty Appellate Committee. Pertinent testimony from all parties involved may be heard, but must be limited to tenure review procedures only. The Faculty Appellate Committee will consider all documentation and testimony, vote by secret ballot, and provide the VPAA a written notification of their decision.

The Faculty Appellate Committee must complete its action by March 20.

Step 7 - By April 1, if the Faculty Appellate Committee rules that tenure review procedures were not followed, the process will resume at the point where the violation occurred. The VPAA shall be responsible for monitoring the subsequent process to ensure that correct review procedures are followed, and that the process is completed by April 20.

If the Faculty Appellate Committee rules that the tenure review procedures were followed, then appeal is denied. The process will resume at the point where the appeal occurred

Step 8 – By May 1, upon receiving a recommendation from the VPAA, the President either approves or disapproves the request for tenure.

If the President approves the request for tenure, he/she recommends the granting of tenure to the Board of Regents of the University of Oklahoma, normally at the May meeting. The President then reports the Regents' action to the VPAA, who then provides written notification to the dean of the school, the department head, and the faculty member.

If the President disapproves the request for tenure, he/she provides written notification to the VPAA. The VPAA will then provide written notification to the dean of the school, the department head, and the faculty member.

Step 9 - The process is completed by the following actions:

- All recommendations will be placed in the personnel file of the candidate.
- The portfolio and a copy of all recommendations will be returned to the candidate.
- All confidential, relevant records leading to tenure will be kept in the VPAA's office for a period of five (5) years and then destroyed unless further recordkeeping of the same is required by either the State of Oklahoma's "General Records Disposition Schedule for State Universities and Colleges," or other legal requirements.

3.4.5 Post-Tenure Review

Post-tenure review at the University is a periodic peer-based evaluation of tenured faculty for the purpose of guiding career development and, when judged necessary, improving faculty performance. The post-tenure review process is based on and extends the annual evaluation of faculty through two processes:

- 1) A retrospective review of faculty performance in teaching; research and creative/scholarly activity; and professional and University service and community engagement over the three years preceding the review, and
- 2) A formative evaluation for future professional growth.

For all faculty, post-tenure review provides a formal opportunity for self-assessment and discussion with peers about professional development. For those faculty whose performance is judged to be below expectations, the evaluation leads to the formulation of a professional development plan, the purpose of which is to assist the faculty member to raise his or her level of performance to meet or exceed the expectations for tenured faculty.

Post-tenure review is mandatory for all tenured faculty.

Bearing in mind the value and importance of academic freedom and procedural due process to the well-being and success of the academic community, the University acknowledges and supports in principle the policies and procedures set forth in the AAUP's *Standards for Good Practice in Post-Tenure Review*. Post-tenure review is not a re-evaluation of a faculty member's tenure status, nor is it intended as means to effect programmatic change. The post-tenure review process will be carried out in a manner that is consistent with the University's policies on academic freedom and responsibility and on faculty evaluation. Post-tenure review will be based on the criteria for annual review established by the faculty of the unit and approved by the administration. Specific provisions prescribing post tenure reviews are set forth in Section 3.8.2 of this Manual.

3.4.6 Non-Tenured Regular Faculty Non-Reappointment

Action on the reappointment of non-tenure track or tenure-track regular faculty is initiated by the academic department head through the respective dean to the VPAA, President and Board of Regents. Any final decision not to reappoint a faculty member shall be determined by the Board of Regents. The VPAA will provide written notification of non-reappointment to the faculty member no later than March 1. Failure to reappoint may be without specific or stated cause.

3.5 SEVERE SANCTIONS

The University strives to exercise great care in selecting faculty appointees and to confer tenure upon only those faculty members who have demonstrated their merit for tenured appointment. For that reason, severe sanctions such as dismissal of a tenured faculty member (abrogation of tenure) or of a regular faculty member during a non-tenure track or tenure-track appointment should be an exceptional event. It is also recognized, however, that a few faculty members may from time to time engage in improper conduct which requires severe sanctions short of dismissal. Such sanctions may include but are not limited to loss of prospective privileges for a stated period; restitution; a fine; a reduction in salary; or suspension from service for a stated period, without other prejudice. As in the case of dismissal, the imposition of severe sanctions short of dismissal should be viewed as a serious and infrequent step usually undertaken only after administrative remedies and minor sanctions have failed.

While extreme action will be required infrequently, the University must be prepared for such an eventuality, so that both the integrity of the University and the rights of the faculty member may be preserved. Toward this end, the faculty must be willing to recommend severe sanctions upon, or dismissal of, a colleague when necessary. By the same token, the President and the Board of Regents shall give all reasonable consideration to faculty recommendations.

Only the Board of Regents has the power to impose severe sanctions. The Board of Regents shall exercise this power only in cases where it determines that there exists sufficient cause for such action.

3.5.1 Grounds for Abrogation of Tenure, Dismissal, and Other Severe Sanctions

A faculty member against whom the imposition of a severe sanction is to be brought or whose dismissal is to be requested must have given such cause for the action as relates directly and substantially to his or her professional capabilities or performance. It is not possible to specify all proper grounds for these drastic measures. Proper reasons for dismissal of a regular faculty member who has tenure or whose tenure-track appointment has not expired include, but are not necessarily limited to, the following:

- a) Professional incompetence or dishonesty, including but not limited to, academic dishonesty, or misuse of University property or resources;
- b) Substantial, manifest, or repeated failure to fulfill professional duties or responsibilities;
- c) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities, including but not limited to, deliberate and grave violations of the rights and freedoms of fellow faculty members, administrators, or students;

- d) Serious violations of law which are admitted or proved before a court of competent jurisdiction or the administrative body established to hear such matters, preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities, or violations of a court order, when such order relates to the faculty member's proper performance of professional responsibilities;
- e) Action(s) involving moral turpitude.
- f) Changes in the University's educational function through action of the Board of Regents and/or the Oklahoma State Regents for Higher Education, which result in the elimination of an academic unit. In such instances the University will make every reasonable effort to reassign affected faculty members to positions for which they are properly qualified before dismissal results from such elimination;*
- g) Financial emergency;*

*Although not considered severe sanctions, (f) and (g) are proper reasons for dismissal of a faculty member who has tenure or whose tenure-track or non-tenure track term has not expired.

3.5.2 Grounds for Summary Suspension

Suspension of a faculty member or assignment to other duties in lieu of suspension is justified only if immediate harm to the faculty member or to others is threatened by that person's continued performance of regular duties. The faculty member may, on request and at the convenience of the department, be relieved of some professional duties if this is necessary to provide time for the preparation of a defense. Summary suspension does not remove from the University the obligation to provide due process within a reasonable period of time following action.

3.5.3 Process for Dismissal of a Faculty Member for Cause

Dismissal proceedings will begin with a conference between the faculty member and the dean of the school. The conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of the tenured faculty member and the University would be served by the faculty member's resignation. If this conference does not result in mutual agreement, the dean will submit a recommendation in writing with rationale to the faculty member and to the VPAA.

Within seven (7) days, the VPAA will have a conference with the faculty member. This conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of the tenured faculty member and the

University would be served by the faculty member's resignation. If this conference does not result in mutual agreement, the VPAA will submit a recommendation of dismissal in writing with rationale to the faculty member and to the President.

A faculty member who receives a recommendation of dismissal from the VPAA may request, and will be afforded, a hearing before the Faculty Appellate Committee. Failure to make a request in writing to the VPAA within seven (7) days after receipt of recommendation of dismissal from the VPAA will constitute a waiver by such faculty member of his/her right to a hearing before the Faculty Appellate Committee

If the faculty member waives his/her right to appeal, the President will recommend dismissal of the faculty member to the Board of Regents at the next board meeting. The President will notify the faculty member of the action of the Board by registered mail with a return receipt requested. Every reasonable effort must be made by the President to ensure that the communication is delivered to the faculty member without delay.

3.5.4 Process for Other Severe Sanctions

Disciplinary action will begin with a conference between the tenured faculty member, the department head, and the dean of the appropriate school. If, as a result of the conference, the dean finds that disciplinary action is warranted, a written recommendation for action and the rationale for the action will be forwarded to the faculty member and the VPAA.

If the faculty member does not agree that the recommended disciplinary action is warranted, he/she may request, and will be afforded, a conference with the VPAA. Failure to make a request in writing to the VPAA within fourteen (14) calendar days after receipt of recommendation of disciplinary action will constitute a waiver by such faculty member of his/her right to further appeal. The VPAA will forward the recommended disciplinary action and the rationale for the action to the President.

If the faculty member does timely request a conference with the VPAA, the conference will be arranged within fourteen (14) calendar days. The VPAA may then determine that the recommended disciplinary action is not necessary, or should be modified. If the VPAA approves and/or modifies the recommended disciplinary action, he/she will provide the President, dean, department head and the faculty member a recommendation of the disciplinary action.

A faculty member who receives a recommendation of disciplinary action from the VPAA may request and will be afforded a hearing before the Faculty Appellate Committee. Failure to make a request in writing to the VPAA within fourteen (14) days after receipt of recommendation of disciplinary action from the VPAA will

constitute a waiver by such faculty member of his/her right to a hearing before the Faculty Appellate Committee

If the faculty member waives his/her right to appeal, the President will recommend the plan of disciplinary action of the faculty member to the Board of Regents at the next board meeting. Upon approval of the disciplinary action by the Board of Regents, the VPAA will provide written notification to the dean, the department head, and the faculty member that the plan of disciplinary action has been approved and a copy of the disciplinary action will be placed in the faculty member's personnel file.

3.5.5 Appeal Procedures for Recommendations Regarding Severe Sanctions

After a faculty member has requested a hearing before the Faculty Appellate Committee, service of notice of hearing with specific charges in writing will be made by the VPAA to the Faculty Appellate Committee and the faculty member at least twenty (20) days prior to the hearing. The faculty member may respond by waiving the hearing and filing a written brief, and if not then the matter will proceed to a hearing. If the faculty member waives hearing, but denies the charge or asserts that the charges do not support a finding of adequate cause, the Faculty Appellate Committee will evaluate all available evidence, including testimony and documentary evidence presented by the University, and make its recommendation upon the evidence in the record.

- a) If the faculty member requests a hearing, the Faculty Appellate Committee will, with due diligence considering the interests of both the University and the faculty member, hold a hearing and report its findings and recommendations to the University President and to the faculty member.
- b) At hearings before the Faculty Appellate Committee, faculty members and the University will be permitted advisors and/or counsel. A court reporter will be retained by the University to record the proceedings. Parties will pay the cost of a copy of the transcript. The hearing will be conducted in a closed session.
- c) The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the University will attempt to secure the cooperation of such witnesses and will make available necessary documents and other evidence within its control. No employee of the University, regardless of position, will be excluded or excused from appearing before the committee, if available.
- d) The faculty member and the University will have the right to cross

examine all witnesses present, except in matters involving student alleged gender-misconduct. Depositions are admissible whenever a witness cannot appear.

- e) The committee may conclude by secret ballot: a) that adequate cause for dismissal/disciplinary action has not been established by the evidence, or; b) that adequate cause for dismissal/disciplinary action has been established, but an academic penalty less than dismissal and/or the recommended disciplinary action, including removal of tenure, would be more appropriate, or; c) that adequate cause for dismissal/disciplinary action has been established by the evidence. The committee may make any other recommendations it determines are appropriate. The committee's findings and recommendations will be made to the University President. The committee will send a copy of its findings and recommendations to the faculty member.
- f) The President will review the recommendations of the Faculty Appellate Committee and the VPAA and notify the faculty member of his/her recommendation to the Board of Regents. The faculty member will have the right to request the Board of Regents to review adverse findings and recommendations of the President. The request must be in writing and filed within fifteen (15) days after the President of the University mailed the notification to the faculty member.
- g) In the event the faculty member submits a timely request to the Board to review adverse findings and recommendations of the President, the faculty member must request a hearing of all of the evidence of the case, if desired. The Board of Regents has the discretion to determine whether the review will be a *de novo* hearing or a review of the record.
- h) Public statements and publicity about the case by the University will be avoided until the proceedings, including consideration by the Board of Regents, have concluded.

3.5.6 Dismissal of Tenured Faculty for Academic Unit Elimination or Financial Emergency

A faculty member with tenure whose position is terminated based upon the elimination of an academic unit will be given five (5) months written notice if possible. The University will make every reasonable effort to reassign affected faculty members to positions for which they are properly qualified before dismissal results from such elimination.

If an appointment is terminated based upon academic unit elimination or financial emergency, the dismissed faculty member's position will not be filled by a replacement within a period of two years, unless the dismissed faculty member

has been offered reappointment at the previous status.

Rose State College

Rose State College

Policies and Procedures Manual Thirty-ninth Revision

**Containing resolutions, motions, and other actions adopted by the
Board of Regents
of Rose State College, of a permanent and general nature,
passed prior to July 1, 2018,
and still in effect on that date,
excepting such actions of the Board as may be published
in the College Catalog or College Student Handbook**

**compiled, codified, and published
by
authority of the Board of Regents**

**Rose State College
6420 Southeast Fifteenth Street
Midwest City, Oklahoma 73110-2704**

- (5) **Approved changes.** Approved changes in the rate of overload, adjunct professor, summer, and substitution pay/deductions will be made effective with the fall semester of each fiscal year.

Sec. 2-30. Summer teaching assignment policy.

Maximum summer teaching assignments follow:

- (1) **Four credit hours.** Four credit hours for a four-week session.
- (2) **Nine credit hours.** Nine credit hours for an eight-week session.
- (3) **Twelve credit hours.** Twelve credit hours for any combination of sessions.

(Exceptions to the summer teaching assignment policy may be granted for special circumstances by the appropriate Academic Division Dean.)

Sec. 2-31. Faculty seniority and retrenchment

(a) **Seniority.** Seniority, acquired through fulfillment of professional obligations and approved leave, may be defined as the length of continuous satisfactory service by Rose State College full-time faculty.

(b) **Retrenchment.** In the event of retrenchment, academically qualified faculty with seniority should be given first consideration for retention and any open positions.

Sec. 2-32. Probationary status

(a) **Probationary period.** All new professors appointed to full-time regular positions are employed on a probationary basis for a minimum of five years, effective beginning June 30, 1977. During the probationary period, professors are carefully evaluated. The Rose State College Board of Regents charges the President, through appropriate administrative officials as outlined in the "Policies and Procedures Manual," with responsibility for supervision, evaluation, and recommendations. During the non-tenured faculty member's first year of employment, the non-tenured faculty member is ineligible for appeals processes as defined in Sec. 7-1(2)(a), p. IV-7-I. The probationary period is meant to be a period of development for professors. Methods and techniques appropriate to instruction will be encouraged and will be developed by the new professor during this period with the help of the immediate supervisor and tenured professors. Participation in the New Faculty Development Program is mandatory. Among the methods of aiding this development are campus professional development activities, professional meetings, course outlines and teaching guides, formal and informal conferences with tenured faculty, faculty mentors, third-year faculty evaluation by tenured faculty (Sec. 2-33), and division meetings. During the probationary period, faculty are evaluated carefully, in part through a formal third-year evaluation, at which time concerns/shortcomings may be identified and assistance then provided to help improve the individual's performance. (*Rev. 05/16*)

(b) **Reappointments.** Probationary employment carries no obligation for continuance, and the decision for reappointment is made each fiscal year. Administrative officials must decide whether to recommend reappointment to the President. No recommendation for an individual means that no employment is offered to that person for the new academic year.

(c) **Consideration for tenure.** After completion of five years of satisfactory service, the full-time, regular professor is considered for tenure provided other requirements, such as degree qualifications, are met. The probationary period may be longer than five years, such as in the case of a professor with demonstrated instructional ability who applies for leave of absence to complete additional education needs or for sick leave or to accept an administrative position in this

institution; the probationary time will resume as if uninterrupted upon reassignment in full-time instruction. If a professor teaches for only one semester during his/her year of tenure consideration, he/she will be evaluated for that year on the basis of the one semester.

(d) **Tenure and special assignments.** Tenure applies to full-time, regular position professors rather than those persons in special assignments. If a special-assignment employee becomes a regular instructional member, however, time spent in such assignments may, at the recommendation of the Division Dean and the Vice President for Academic Affairs and at the discretion of the President, be counted as probationary time.

(e) **Special circumstances.** If a tenured faculty member or a tenure track faculty member should leave the College and return or if any other special circumstance should develop concerning a faculty member's eligibility for tenure vote, the tenured faculty of the division will consider the circumstances. This committee will make recommendations to the Division Dean. These recommendations, along with those of the Division Dean, will be forwarded to the Vice President for Academic Affairs, then the President.

Sec. 2-33. Granting of Tenure and evaluating probationary faculty

(a) **Consideration for tenure.** All persons who have completed the probationary period are to be considered for tenure. This consideration is shared by tenured faculty members within the person's division, the Division Dean, or other administrative, managerial, or professional personnel, and the administration. In the event that the tenured faculty in a division number fewer than five, this number will be supplemented by the necessary number from the tenured faculty of the College. The Vice President for Academic Affairs will be responsible for having the tenured faculty of the division elect the additional members necessary.

(b) **August professional development (fall) meeting.** Each Division Dean will announce at the fall professional development a meeting of the tenured faculty of the division to be held before September 15 for the purposes of presenting the names of faculty members in that division who are eligible for third-year review and tenure consideration and of reviewing the tenure process.

(c) **January professional development (spring) meeting.** Each Division Dean will announce at the spring professional development the dates for the spring meetings pertaining to tenure.

Each faculty member being considered for tenure or for third-year review is responsible for checking his/her file for completeness and accuracy after the beginning of the spring semester but prior to the two weeks before to Spring Break. Tenured faculty will review the files for the tenure candidate(s) and third-year review candidates during the two weeks prior to Spring Break.

Tenure evaluation materials:

- (1) Student Evaluation of Professor and Instruction (plus computer summary).
- (2) Instructional Evaluation-Classroom Visit (composite).
- (3) Faculty Performance Appraisal.
- (4) Teaching Assignments.
- (5) Grade Analysis.
- (6) Faculty Data Sheet
- (7) Additional information. Any additional information that a person being considered wishes to submit. These materials will have been collected at the appropriate times during the probationary period. (Rev. 05/16)

(d) **Spring tenure-related meetings.**

(1) **Reviewing files.** The two weeks prior to Spring Break will be set aside each year for tenured faculty of the division to review the materials of each person to be considered for tenure and for those having their third-year review.

***Tenure and Third-Year Review.** The materials will be available in the division office or in another room designated for this purpose by the Division Dean. The materials may not be removed from the designated location and must be considered confidential. Each tenured faculty member must have signed a check sheet, attached to each file, upon having completed his/her review of the material in order to be eligible to complete the evaluation form and/or vote.

The tenured faculty may make notes during this review so as to better complete the evaluation at a later date. They may also obtain a copy of the form (from the online *Forms Handbook*) on which to make notes.

(2) **Reviewing policy and signing ballots.** During the week following Spring Break, a short meeting of the tenured faculty within the division will be called by the Division Dean for the purpose of reviewing the tenure voting process and electing a chairperson to serve during the tenure voting and evaluation process. Once a chairperson is elected by the tenured faculty, the Division Dean will leave the meeting, and the chairperson will review with the tenured faculty the evaluation form to be completed for third-year probationary faculty and for those who are to be considered for tenure. The chairperson will appoint an assistant, and they will proceed with the signing of the ballots. He/she will keep track of which tenured faculty members signed ballots as only those faculty will be allowed to cast votes at the tenure meeting.

Signing BALLOTS. A copy of the ballot should be obtained from the online *Forms Handbook* or from the Office of Academic Affairs. Voting is anonymous. Therefore, the names of all tenured faculty members in the division will be typed on the form, and one copy per faculty member times the number of faculty members being voted on for tenure will be produced. (Example: 20 tenured faculty members x 2 faculty members up for tenure will cause each faculty member to sign his/her name 40 times. At the voting meeting, only those tenured faculty members who previously signed ballots would be eligible to cast votes.)

(3) **Voting and writing evaluations.** The Division Dean or elected chairperson will call two (2) two-hour meetings of the tenured faculty within the division during the second week following Spring Break for the purpose of voting for tenure recommendations and of filling out faculty evaluations for those faculty being considered for tenure and for those having their third-year review.

The evaluation forms are Scantron forms available in the Office of Academic Affairs. Number 2 pencils will be necessary to complete the numerical portion of the form.

The Division Dean will give the tenure ballots, which were signed for purposes of validation at the preceding meeting, to the elected faculty chairperson and leave the meeting. Within the first assigned two-hour period, any tenured faculty member who previously signed ballots and reviewed tenure files will complete an evaluation of all third-year probationary faculty and of those eligible for tenure. In addition, all tenured faculty will vote on each person eligible for tenure. Those faculty members attending the first meeting must complete all evaluations and voting at that meeting. At the end of this first meeting, the completed ballots, evaluations, and the remaining blank ballots will be secured in the division office.

Those tenured faculty unable to attend the first meeting should attend the second two-hour meeting in order to complete faculty evaluations for those faculty being considered for tenure and for those having their third-year review. In addition, these remaining tenured faculty will vote on each person eligible for tenure.

The ballots and evaluations will be completed in the room designated for meeting and will be collected by the elected chairperson or the assistant. Both ballots and evaluations must be completed and collected within two hours of the beginning of the meeting. All must be completed by the end of the second two-hour meeting.

(4) **Announcing tenure recommendations.** The Division Dean will call a final meeting of the tenured faculty of the division prior to the last day of the spring semester at which he/she will inform the tenured faculty of their majority vote and subsequent action by the College administration and the Board of Regents.

(e) **Disposition of the ballots and the evaluations.**

(1) The elected chairperson and his/her assistant will compile the comments made by the tenured faculty on the evaluation forms.

(2) The evaluations will then be taken to IT Services so that a composite tally of the evaluation numerical scores can be run. (A tally of the evaluations and a compilation of the written comments will be sent to the Division.)

(3) The ballots will be taken to the Division Dean by the elected chairperson. The Division Dean and the elected tenure chairperson count the ballots with the Vice President for Academic Affairs. (An abstaining vote is not counted.)

The Division Dean will forward the results of the vote in a memo, indicated by a majority for or against (a majority being 50% + 1 vote), together with the recommendation of the Dean to the Vice President for Academic Affairs no later than the end of the second week following Spring Break. The Vice President will then forward the results and his/her recommendation to the President. The final decision is made, with the President's recommendation, by the Board of Regents.

Tenure ballots will be destroyed four weeks after the faculty member under consideration has been notified of his/her tenure status.

(f) **Notification of Tenure and evaluation results**

(1) **Notification.** Official notification of tenure status is given to the faculty member by letter from the President no later than 10 days after the decision of the Board of Regents.

(2) **No tenure recommended.** In the event that a faculty member does not receive a recommendation for tenure, his/her services will be terminated at the end of the current contract period. If tenure is not recommended or approved for a candidate, he/she will be notified through the proper administrative channels.

(3) **Results for faculty considered for tenure.** For the faculty member(s) considered for tenure, the evaluations and the ballots will be taken to the Vice President for Academic Affairs for tallying within two days of the tenure vote meeting. The Vice President for Academic Affairs will store the evaluations for one year, then destroy them by shredding.

The Vice President for Academic Affairs will retain the tenure ballots for one month after the faculty member's notification of granting or non-granting of tenure. In the event that an appeal occurs in connection with granting or non-granting of tenure, the tally may be viewed by the Hearing Committee.

The tally and a summary of comments from the evaluations will be given to the faculty member(s) considered for tenure at a meeting with the elected chairperson, which

will occur as soon as possible after the tenured faculty of the division have been notified of the results of the tenure vote.

(4) **Results for faculty considered for review.** For the third-year probationary member(s), the tally from IT Services of the individual evaluation items and the evaluations themselves will be sealed and kept by the elected chairperson until his/her meeting with that faculty member, which will take place before the end of April. At this time the faculty member will receive his/her copy of the tally and a summary of evaluation comments, and the evaluations themselves will be destroyed. A copy of the composite tally and of the evaluation comments will be kept in the faculty member's personnel file in the Division Dean's office.

Sec. 2-34. Tenure in administrative assignments

(a) **Not applicable.** Tenure is not applicable to service in administrative assignments. The administrative officers of the College are appointed to serve in their assignments for an indefinite period but with annual renewal of employment terms on the part of the individual and the institution. Persons holding faculty tenure status who accept appointments to administrative positions, however, do not give up their tenure as faculty. Upon reassignment as faculty, tenure status continues.

(b) **Exception.** There is one exception to Sec. 2-35(a). Persons who have at least 60 percent instructional duties receive full credit on their probationary time for each year spent in such positions and are eligible for tenure.

Sec. 2-35. Periodic review of tenure status

(a) **Procedures.** For the purposes of assuring the public, the students, and the faculty of the institution's maintenance of the highest academic standards, procedures for periodic review and evaluation of officially tenured professional instructional staff have been established. The review, in the form of self-evaluation, student evaluation, administrator's evaluation, and conference with the faculty member, shall be conducted during the third and sixth years following the year during which tenure status is granted and every fifth year thereafter; however, all tenured faculty will be reviewed yearly for contributory services according to the personnel chapter (see Chapter IV, Personnel).

(b) **Return to probation.** If, at the conclusion of a periodic review of a tenured faculty member, it is determined that the faculty member's total evaluation reflects failure to comply with stated responsibilities, return to probationary status for one year may be recommended. In this event, the President will notify the faculty member in personal conference of the recommended action. If the faculty member agrees to the recommendation, the action will constitute full return to probationary status without privileges or guarantee of processes accorded tenured faculty. If the faculty member desires to appeal, he/she will so indicate to the President during the conference. Procedures will be the same as those in the personnel chapter (see Chapter IV, Personnel).

(c) **During one-year probation.** During a one-year probationary period, the faculty member will meet with the Division Dean at least once each semester for counseling and continuing evaluation.

(d) **Recommendations after one-year probation.** If, at the conclusion of a one-year probationary period, the faculty member is determined to have complied with stated responsibilities, he/she will be returned to tenured status; if not, recommendations that his/her

services be terminated will be made. The recommendation, in either event, will be forwarded by the Division Dean through the proper administrative channels to the President, who will notify the faculty member. If the faculty member desires to appeal, he/she should follow the procedures in the personnel chapter (see Chapter IV, Personnel).

Sec. 2-36. Textbook and other instructional materials recommendation and adoption

- (a) **Selection responsibility.** Rose State College has the responsibility of selecting textbooks and other resources to learning which are the best basic tools that may be used in the quest of complete and efficient learning. The College recognizes that the selection of textbooks is the right and responsibility of the faculty. Professors, because of their specialized training and thorough familiarity with the literature in their own subject fields, are best qualified to recommend these materials. However, the responsibility for recommending textbooks is not one to be taken lightly; rather, it is a task that must be frequently performed and frequently reviewed.
- (b) **Freedom of choice.** The policy of the College shall be to allow professors the freedom to recommend instructional materials, including textbooks.
- (c) **Adjunct professors.** Adjunct professors assigned to regular course offerings will use one of the approved texts.
- (d) **Procedures.** Procedures to be followed in selecting or changing textbooks:

Seminole State College

FACULTY TENURE POLICY AND PROCEDURE (BP)

The following tenure policy revision was adopted by the Seminole State College Board of Regents in October, 2004. Provisions apply to non-tenured faculty members from the date of adoption and thereafter. Faculty members who were tenured prior to the policy revision in 2004 will retain tenure, subject to future tenure review.

Definition of Tenure

“Tenure is a means to certain ends; specifically: (1) freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society [...]. After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies" (AAUP, 2001, pp. 3-4).

Tenure describes faculty members who have met the requirements of this policy. Tenure is a reciprocal state in which the faculty member commits to an on-going effort to achieve excellence and the institution commits to support the achievement of excellence and to retain the faculty member. Tenure is justified by the critical protection it affords to academic freedom.

Definition of Faculty

For the purposes of tenure, faculty is defined as those whose greatest concentration of duties are classroom teaching and who are on full-time faculty contracts at the College.

Eligibility for Tenure

Faculty are eligible to apply for tenure at the conclusion of a probationary period which is defined below. All faculty new to Seminole State College must serve a probationary period of four continuous years as a full-time faculty member and must have earned a master’s degree with 18 graduate hours in the primary teaching field (i.e., life sciences, physical sciences, nursing, business administration, computer science, child development, among others) prior to applying for tenure. This four-year period provides for annual evaluation, notification of unsatisfactory work, an opportunity to address deficiencies, a determination of program viability, and for the faculty member to become involved with the institution and its five-county service area. Application for tenure may be made during the fifth year of continuous full-time service or any year thereafter.

POLICY: II-6-5

Faculty Tenure Status

A faculty member in tenure application status is a tenure-eligible faculty member, as defined above, who has chosen to enter or re-enter the tenure procedure. A non-tenured faculty member is a faculty member who is not entering or re-entering the tenure procedure.

Criteria for Judging Tenure Applications

In support of the primary functions of the College, faculty considered for tenure must show evidence of quality performance in three: teaching, scholarship, and service. Priority shall be given to faculty activities which are supportive of the philosophy and purposes of the College. Teaching is defined as instruction to impart knowledge or skill to students within the formalized academic processes and structures of the College. In considering evidence for tenure, faculty who do not demonstrate superior teaching excellence will not be tenured. Scholarship is defined as academic learning or achievement systematically advancing knowledge or skills in a field of learning. Service is defined as actions contributing to the advancement or enhancement of others beyond the scope of expected work assignments and duties. Activities of the faculty member shall be judged in terms of the impact which they have in promoting desirable educational progress within the College and within the five-county service area of the College.

Evidence submitted to support a recommendation for tenure will be judged according to the pattern of performance which it reveals. The pattern should show both recent performance as well as a history of performance over the period of employment at Seminole State College.

During the faculty member's probationary period, the faculty member shall gather and organize evidence for inclusion in a Tenure ~~Application Portfolio~~.

Criteria for Judging Faculty Performance

1. Teaching Function

- a. The faculty member is able to produce evidence of student learning as specified in course goals and objectives. Such goals and objectives shall be consistent with program and divisional goals and objectives.
- b. The faculty member has established positive colleague and student relationships.
- c. The faculty member contributes to program development and program implementation in ways consistent with the philosophy of the College.
- d. The faculty member applies methodology, concepts, processes, and principles central to the curriculum taught.

POLICY: II-6-6

2. Scholarship

- a. The faculty member participates in in-service, colloquia, and other professional development opportunities.
- b. The faculty member is involved in professional organizations and activities appropriate to his/her teaching field(s).
- c. The faculty member engages in activities and learning experiences enabling him/her to maintain current knowledge of his/her teaching field(s).

3. Service Function

- a. The faculty member provides service to the College outside of his/her teaching responsibilities.
- b. The faculty member provides service to students that are outside of his/her teaching responsibilities.

- c. The faculty member provides service to groups of his/her choice in the five-county College service area.

Tenure Density

Faculty members eligible for tenure at Seminole State College, but for whom a tenure position does not currently exist due to faculty tenure density at the College shall be protected to the fullest extent possible. In the interim, these faculty may be reappointed annually as non-tenured until such time as the tenure density at the College allows for additional tenured faculty.

No part of this policy shall be construed to imply that faculty members waiting for tenure density to decrease shall be accorded automatic tenure status without final review of the tenure recommendation file. Nor does this imply that a person awaiting tenure due to tenure density shall be denied promotion if he/she qualifies for such promotion.

At Seminole State College, the maximum tenure density is 60 percent based on 40 full-time faculty or an average number of full-time faculty from the previous five years, whichever is higher. Tenure applications exceeding the 60 percent limit may be considered by the Board upon recommendation with justification by the President.

Tenure Application Procedure

During the fifth year of continuous full-time service, or any year thereafter, faculty applying for tenure shall complete a Tenure Application Portfolio. The completed Tenure Application Portfolio shall be placed in a three-ring binder and submitted to the Division Chair by November 1. The Tenure Application instruction packet is available in the Office of Academic Affairs. Applicants are advised to confer with the Division Chair throughout the process. The packet will include helpful checklists of required documentation. In the years of teaching prior to applying for tenure, the faculty member shall gather and organize evidence for inclusion in the Tenure Application Portfolio.

POLICY: II-6-7

Steps in the Tenure Application Procedure are as follows:

1. Tenure Application Portfolio

The Portfolio should be placed in a three-ring binder and contain the following materials in sequential order:

- a. *Summary of Evidence*

The candidate shall write a self-evaluation of assets and strengths and a summary of materials in the Tenure Application Portfolio. This document should not exceed four 8 1/2 X 11, double-spaced typed pages.

- b. *Resume*

The candidate shall include a current resume. The candidate shall ensure that his/her personnel file is complete and contains a current resume.

- c. *Transcripts*

The candidate shall include copies of official, current transcripts. The candidate shall ensure that his/her personnel file contains official, current transcripts.

d. Evidence of Meeting Criteria

The candidate shall organize and include in the file the materials relating to the Criteria for Judging Faculty Performance” that shall have been gathered in the years of teaching prior to applying for tenure.

Suggested evidence for evaluating the Criteria for Judging Faculty Performance regarding Teaching (correlates to criteria for teaching in section on Criteria for Judging Faculty Performance) is:

- a. Course handouts
Course presentations
Course lecture notes
Laboratory investigations
Division chair evaluations of faculty
Relevant examples of student work
- b. Letters, notes, recommendations and/or awards from students
Letters, notes, recommendations and/or awards from colleagues
- c. Minutes of meetings regarding development/revision curriculum
Syllabi of courses developed/revised
Completed Oklahoma State Regents for Higher Education degree program addition/modification forms
- d. Course assessment tools and results
Student Feedback on Instruction results

POLICY NUMBER: II-6-8

Suggested evidence for evaluating the Criteria for Judging Faculty Performance regarding Scholarship (correlates to criteria for Scholarship in section on Criteria for Judging Faculty Performance) is:

- a. Programs and agendas
Certificates of completion
Notes or articles acknowledging attendance
- b. Programs, agendas, newsletters
Letters, notes or articles acknowledging participation
- c. Published or copyrighted articles or materials
Research, performance or art show documentation

Suggested evidence for evaluating the Criteria for Judging Faculty Performance regarding Service (correlates to criteria for Service in section on Criteria for Judging Faculty Performance) is:

- a., b., and c.:
- Committee appointment letters
 - Meeting minutes
 - Notes, letters acknowledging contributions
 - Reports

Publicity materials
Awards, honors, certificates

- e. *Syllabi*
The candidate shall include current syllabi of courses taught.
- f. *Tenure Team Classroom Performance Evaluations*
- g. *Tenure Application Committee Interview Form*

3. Tenure Application Committee

In order to complete the application, the candidate should form a Tenure Application Committee consisting of five colleagues, one of whom may be the Division Chair, and two of whom are outside the candidate's discipline. Faculty in Divisions with less than three colleagues may seek an exemption with the approval of the Division Chair and the Vice President for Academic Affairs. The majority of the committee shall be tenured faculty. The candidate should determine if each colleague has time and is willing to serve as a member of the candidate's Tenure Application Committee. The Committee shall meet with the candidate to review and take action on the Colleague Classroom Performance Evaluations and the completed Tenure Application Portfolio (see 4, 5, and 6 below), applying the criteria set forth in this policy.

POLICY NUMBER: II-6-9

4. Colleague Classroom Performance Evaluation

When the Division Chair receives the candidate's Tenure Application Portfolio, the Chair will appoint two faculty from the candidate's Tenure Application Committee who will join with the Vice President Academic Affairs in a classroom evaluation of the candidate.

The Classroom Performance Evaluators will submit written evaluation reports to the candidate's Division Chair. These reports, as well as that of the Division Chair, will become part of the candidate's Tenure Application Portfolio.

a. *Colleague Classroom Performance Evaluation Procedure*

- (1) Each colleague and Division Chair, hereinafter known as the evaluators, shall review the syllabi prepared by the candidate before visiting a class session. Evaluators shall each visit a different course, or if the candidate has only one preparation during the tenure application semester, different class sections.
- (2) The evaluators may confer with the candidate and with students regarding the syllabus and the course before and after the classroom visit. Each evaluator will review the completed Colleague Classroom Performance Evaluation with the candidate before submitting the form to the Division Chair.

- (3) Evaluators may elect to visit the candidate's classroom unannounced or to confer with the candidate before visiting. Evaluators may also elect to visit the classroom up to three times before completing the evaluation form.
- (4) Evaluators should use the review of the syllabi, conferences and classroom visits in order to complete the evaluation form. Upon completion, the evaluator shall submit this form and the recommendations to the candidate's Division Chair, after having shared the evaluation with the candidate.
- (5) Colleague Recommendations: In a typewritten statement, each colleague shall address the candidate's qualifications for tenure by citing his/her assets, strengths, limitations, and contributions to the institution.

5. Tenure Application Interview

The Division Chair will interview the candidate after the classroom evaluations and colleague evaluations and will request that the colleagues participate in the interview. In order to ensure uniformity among divisions, each Division Chair will use the Tenure Application Committee Interview Form and file it in the candidate's Application Portfolio.

POLICY NUMBER: II-6-10

Division Chair Action on Tenure

The Colleague Classroom Performance Evaluation, colleague recommendations and interview must be completed and filed by December 1, at which time the Division Chair reviews the completed Tenure Application, the candidate's personnel file, and prepares a written report. The Division Chair, after reviewing all evidence, will submit to the Vice President for Academic Affairs a written recommendation to approve or deny the tenure request.

The Division Chair will then confer with the candidate, announcing his/her recommendation and providing the candidate with a copy of the Division Chair's report by December 15. If the Division Chair cannot recommend the candidate for tenure consideration, the candidate may file an appeal in accordance with institutional policy.

Vice President for Academic Affairs Action on Tenure

If the Division Chair recommends the candidate for tenure, the Division Chair submits the completed Tenure Application Portfolio to the Vice President for Academic Affairs no later than January 1.

The Vice President for Academic Affairs has until February 1 to review tenure candidates and their respective Tenure Application Portfolios, and to prepare a written report for each candidate, recommending or not recommending candidates for tenure. The Vice President for Academic Affairs will confer with each candidate and with each candidate's Division Chair jointly, reviewing his/her report with them and providing a copy of this report to them.

The Vice President for Academic Affairs submits his/her recommendation with documentation to the President by February 15. The President shall then recommend candidates for tenure at the next regular Board of Regents meeting for Board action. After Board action, a copy of the Tenure Application Portfolio and the Board decision become a part of the faculty member's personnel file. The original Tenure Application Portfolio is returned to the faculty member.

If the Vice President for Academic Affairs and/or the Division Chair do not recommend a candidate for tenure, the Vice President for Academic Affairs and/or the Division Chair will prepare a written report, specifying the reasons for not recommending tenure and will review the report with the candidate. The Vice President for Academic Affairs and/or the Division Chair may take the following actions:

- (1) Assist the candidate in establishing a specific set of goals and objectives, with timetables for the candidate's improvement to provide an opportunity for the candidate to become tenured.
- (2) Recommend that the faculty member remain in non-tenured status.

Tenure Reapplication

A continuously employed faculty member may re-enter the tenure application process after having completed at least one additional academic year on contract if the faculty member has achieved the specified goals and objectives in the timetable established. A faculty member may re-enter the tenure application process no more than twice.

REFERENCE

American Association of University Professors (2001). *AAUP policy documents and reports* (9th ed.). Washington, D.C.: American Association of University Professors.

DATE OF ADOPTION: October 21, 2004 LEGAL REFERENCE:
REVISION DATE (S): February 19, 2015

RELATED ADMINISTRATIVE RULES AND REGULATIONS: _____

Southeastern Oklahoma State University

It is the responsibility of the individual faculty member to initiate the request for a promotion in rank and to prepare the portfolio of materials. The department chair will advise the faculty member in preparation of this request. The following steps outline the procedures in the promotion process (4.6.3). A Portfolio Transmittal Form (see Forms) to certify the receipt dates and transmittal dates at each step of the promotion process must accompany the request and is available from the department chair. Failure to forward the portfolio and recommendation by the specified date will constitute de facto approval at that step.

It is the responsibility of the individual faculty member to monitor the flow of materials through the process. At any step in the process, the faculty member may withdraw a request for promotion in rank.

4.5.4 Concepts and Understandings Regarding Rank and Promotion Policies

1. The highest interests of the University will best be served through a spirit of cooperation and a sense of mutual confidence among the faculty, the chairs, chief academic officer, and the president of the University. The procedure for recommending promotion in rank is designed to systematize as well as to encourage such cooperation and mutual confidence.
2. The determination of professional training and/or experience to meet the criteria for assignment of rank will be the responsibility of the appropriate academic officer (or officers) on campus. They will consult with peers or supervisors of those who are being considered for changes in rank.
3. No person presently employed shall suffer reduction in rank as a result of the operation of these policies.
4. Instructional personnel who are not subject to assignment of rank may be classified by titles such as special instructors, lecturers, graduate assistants, adjunct teachers, and part-time teachers.
5. An instructor, upon making official notification to the administration of the completion of a doctoral program, may receive immediate promotion to the rank of assistant professor with approval of the Regional University System of Oklahoma Board of Regents.
6. The application for promotion may be submitted during the year which completed the requirements for the rank as outlined in Section 4.5.2.1, with a successful application causing promotion effective the following academic year.
7. A faculty member must complete at least two years of employment at Southeastern before applying for promotion to the rank of Associate Professor or Professor.
8. Any exception to the policy on promotion in rank is the domain of the president of the University.

4.6 Tenure

Source: See Policy Manual of the Regional University System of Oklahoma Board of Regents (Academic Affairs, 3.3)

4.6.1 Academic Tenure

Tenure is a privilege and a distinctive honor. Tenure is defined as continuous reappointment which may be granted to a faculty member in a tenure-track position, subject to the terms and conditions of appointment. The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the University. While specific responsibilities of faculty members may vary because of special assignments or because of the particular mission of an academic unit, all evaluations

for tenure shall address at a minimum whether each candidate has achieved excellence in (1) teaching, (2) research or creative achievement, (3) professional service, and (4) University service. Each University may formulate standards for this review and determine the appropriate weight to be accorded each criteria consistent with the mission of the academic unit.

Tenure is granted by the Regional University System of Oklahoma Board of Regents upon recommendation of the University president. Determination of merit and recommendation for granting tenure shall comport with the minimum criteria and policies and procedures contained in this chapter.

The terms and conditions of every appointment or reappointment shall be stated in writing and copies in the possession of both the institution and faculty member before the appointment is approved. Tenure shall be granted only by written notification after approval by the Board. Only full-time faculty members holding academic rank of assistant professor, associate professor, or professor may be granted tenure. Qualified professional librarians shall be considered faculty members if they are given academic rank.

Tenure does not apply to administrative positions, but a tenured faculty member appointed to an administrative position retains tenured status as a member of the faculty.

The Board intends to reappoint tenured personnel to the faculties of the institutions under its control within existing positions that are continued the next year. The Board reserves the right to terminate tenured faculty at the end of any fiscal year if the Legislature fails to allocate sufficient funds to meet obligations for salaries or compensation.

4.6.2 Periods of Appointment and Tenure

Faculty members holding academic rank above the level of instructor (assistant professor, associate professor, professor) may receive tenure at any time. Normally, faculty members shall be on probation for five (5) years after date of first being employed by the University in a tenure-track position. (Years of experience in a non-tenure-track position may be used for probation only if approved by the University). Seven (7) years shall be the maximum probationary period for the eligible faculty member to be granted tenure. If, at the end of seven (7) years any faculty member has not attained tenure, there will be no renewal of appointment for the faculty member unless a specific recommendation for waiver of policy from the President to the contrary is approved by the Regional University System of Oklahoma Board of Regents. This procedure applies every year thereafter.

For the purpose of determining probationary employment of faculty members for tenure consideration, sabbatical leave counts as a part of the period of probationary employment, but a leave of absence is not included as part of the probationary period.

4.6.3 Procedure for Granting Promotion and Tenure

The normal procedure for granting tenure is initiated by the faculty member during the fifth, sixth, or seventh year of service to the University in a tenure-track position. The normal procedure for granting promotion is initiated by the eligible faculty member. Failure to complete any of steps 3-7 by the specified due date will constitute de facto approval at that step in the tenure and/or promotion process. The following steps outline the normal process:

Step 1–

All of the following must be completed no later than **September 15**: The faculty member files a written request for promotion and/or tenure with the department chair. The request must be accompanied by a portfolio exhibiting documentation of effective teaching, research/scholarship, contributions to the institution and profession, and performance of non-teaching or administrative duties, if appropriate. Once the portfolio is submitted, the applicant cannot add to it but he/she can change the status of items (e.g., If a paper was submitted for publication in September and in November he/she is notified it was accepted for publication, the portfolio can be amended to indicate the paper was accepted.)

The department chair who is a candidate for Promotion and Tenure will provide the names of two department chairs, who must hold the rank of Full Professor and not be serving in an interim position to the VPAA. The VPAA will select one to serve in the capacity of the chair throughout the promotion process.

Step 2–

All of the following must be completed no later than **October 1**: A Promotion and Tenure Review Committee shall be formed. The Department Chair will notify the members of the Promotion and Tenure Review Committee, and the candidate's portfolio will be provided. Committee shall include all faculty in the department with the appropriate tenure/rank. For Tenure applications, all tenured faculty members within the department shall serve as the Promotion and Tenure Review Committee. In Promotion cases, only tenured faculty at or above the rank sought shall serve on the committee. As they review applications in a later stage of the process, department chairs and the VPAA do not serve on either Tenure or Promotion committees in their academic department even if they are otherwise qualified. In the event that the number of faculty at the appropriate rank or tenured faculty members in the department is fewer than five (5), the tenured and appropriately ranked faculty within the department will serve on the committee and additional tenured and appropriately ranked faculty members will be appointed by the following process. The applicant will submit a list of qualified prospective faculty to the department chair. The list may include up to twice the number of needed faculty for the vacancies. The department chair, in collaboration with the VPAA, will then choose from the list to fill the vacancies. If no agreement can be reached to fill the vacancies, then the vacancies will be filled by a random selection process--with an equal probability of selection--from the qualified faculty within the applicant's school. Faculty chosen by either of these methods would be asked if they are willing to serve. If there is a committee member(s) that is tenured but not of sufficient rank, that member shall only vote on the tenure recommendation. If this creates a shortage of committee members for the promotion recommendation (i.e., fewer than five), then a qualified member of sufficient rank will be chosen to fill that vacancy by the selection process described in this policy, and that committee member shall only vote on the promotion recommendation.

Step 3--

All of the following must be completed no later than **October 15**: The department chair shall call a meeting of the Promotion and Tenure Review Committee to initiate discussion of the request. At the first meeting, the Promotion and Tenure Review Committee will elect a chair of the Committee. After each member of the Promotion and Tenure Review Committee critiques the portfolio and each performance criterion, the faculty member's performance shall be reviewed, discussed, and evaluated by the Promotion and Tenure Review Committee. This review shall be conducted in a manner that allows for input from non-tenured colleagues, students, alumni, and administrative information from the

department chair. After completion of the review, a poll by secret ballot of the Promotion and Tenure Review Committee will be taken to determine whether a recommendation for the granting of tenure and/or promotion will be made. Committee members shall not be permitted to abstain. A simple majority vote shall prevail. The committee will continue deliberations until a majority decision has been reached. The chair of the Promotion and Tenure Committee will write a narrative evaluation of the applicant's performance on each performance criterion in the form of a letter. The narrative evaluation letter must be approved by a majority vote of the whole Promotion and Tenure Review Committee. The Promotion and Tenure Review Committee shall then send the portfolio with the committee's vote (numerical count), the narrative evaluation letter, and their recommendation to grant or to deny to the department chair. The committee chair also writes a letter to the applicant informing him/her of the committee's recommendation to grant or deny tenure/promotion. The recommendation letter is separate from the narrative evaluation letter. The narrative evaluation letter will be inserted into the portfolio but will not be made available for review by the candidate until the optional withdrawal period following the VPAA's recommendation. All ballots are to be retained by the chair of the Promotion and Tenure Review Committee until a final decision is reached concerning the request. The ballots shall then be destroyed.

Step 4–

All of the following must be completed no longer than **November 15**: The department chair shall review the Promotion and Tenure Review Committee's vote, critique the portfolio, evaluate each performance criterion, and decide whether to recommend the granting of tenure and/or promotion. The department chair will then write a narrative evaluation of the applicant's performance on each performance criterion in the form of a letter. The narrative evaluation letter will be inserted into the portfolio but will not be made available for review by the candidate until the optional withdrawal period following the VPAA's recommendation. The chair will then forward a recommendation concerning the request and all documentation to the VPAA. The chair will provide the applicant with a written statement of his/her recommendation and a written statement of his/her recommendation shall also be forwarded to the members of the Promotion and Tenure Review Committee.

Step 5–

All of the following must be completed no later than **January 15**: The VPAA shall review the Chair's recommendation, the Promotion and Tenure Review Committee's vote, critique the portfolio, evaluate each performance criterion, and decide whether to recommend the granting of tenure and/or promotion. The VPAA will then write a narrative evaluation of the applicant's performance on each performance criterion in the form of a letter. The narrative evaluation letter will be inserted into the portfolio and the VPAA will provide the applicant with a written statement of his/her recommendation. Upon receipt of the VPAA's recommendation the candidate will have the option to withdraw the application (as described in "Withdrawal of the Application" below). Should the candidate elect not to withdraw, the VPAA will then forward a recommendation concerning the request and all documentation to the President. The VPAA will then forward a written statement of his/her recommendation to the department chair and to the members of the Promotion and Tenure Review Committee.

Withdrawal of Application: After receiving the VPAA's recommendation the applicant will be given a summative list of the recommendation decisions and have the opportunity to review narrative evaluations from the Promotion and Tenure Review committee, department chair, and VPAA. The applicant will then have the opportunity to withdraw the tenure/promotion application without prejudice toward future applications. The applicant must file the withdrawal with the VPAA by January 30. If the

applicant chooses to file a procedural due process appeal, then s/he will have the opportunity of withdrawing the tenure/promotion application at the conclusion of the appeal process or following the VPAA's decision, should the procedure be renewed as a result of the appeal. A withdrawal of the application marks the completion of the process.

Due Process Appeal: If the VPAA recommends that promotion or tenure be denied and the faculty member believes that the request has not been accorded "procedural due process," s/he may request of the Faculty Appellate Committee a hearing pertaining solely to due process. The definition of procedural due process is that all aspects of tenure and/or promotion will be conducted in a manner that adheres to the protocols, principles, and policies set forth in the Academic Policies and Procedures Manual at Southeastern and the Policy Manual of the Regional University System of Oklahoma. Areas considered as procedural due process may include but are not limited to: (1) process used to convene the tenure and/or promotion committee; (2) ineligible members appointed to the committee; (3) manner by which the committee conducts business; (4) adherence to the deadlines; (5) attempts to exert inappropriate influence/pressure by any party; or (6) failure to provide required evaluation/narrative at any level of the review. Such an appeal must be filed by **January 30**. The appeal hearing will be conducted by the full membership of the Faculty Appellate Committee, with at least seven members of the committee participating in the hearing (see APPM 3.6.1 for the committee's composition and functions). All decisions by the committee shall be made by a simple majority vote. Pertinent testimony from all parties involved may be heard. If the Faculty Appellate Committee rules that due process was violated, the committee may then recommend that the procedure be renewed at the point where violation occurred. The VPAA shall be responsible for monitoring the subsequent procedures to assure that due process is accorded. The Faculty Appellate Committee must complete action on an appeal by **February 15**.

Step 7–

All of the following must be completed no later than **March 1**: Upon receiving a recommendation from the VPAA, the President decides either to approve or disapprove the request for tenure and/or promotion. The President then reports his decision to the VPAA, department chair, Promotion and Tenure Review Committee, and the faculty member. If the President approves the request for tenure, s/he submits it to the Regional University System of Oklahoma Board of Regents, normally at the April meeting. The President then reports the Regents' action to the VPAA, department chair, Promotion and Tenure Review Committee and the faculty member.

If the applicant withdraws the application by the January 30 deadline, the application does not proceed to the President. If, as a result of an appeal decision, the tenure/promotion procedure is renewed, the VPAA's recommendation will be made by March 15. If the VPAA's decision is to recommend denial of tenure/promotion, the applicant will have the opportunity to withdraw the application. The withdrawal must be filed by March 30. If the application is withdrawn, it will not proceed to the President. A withdrawal of the application marks the completion of the process.

4.6.4 Concepts Regarding Tenure

The highest interests of the University will be served through a spirit of cooperation and a sense of mutual confidence among the faculty, department chairs, Vice President for Academic Affairs, and the President of the University. The procedure for recommending tenure is designed to encourage such cooperation and confidence.

The Regional University System of Oklahoma Board of Regents recommends that not more than sixty-five percent (65%) of the full-time faculty at a University receive tenure. Once the sixty-five percent limit is reached, there will be no additions to the tenured faculty at Southeastern. However, the tenure process on campus will continue. Faculty members recommended for tenure will be placed in a priority-hold status by year pending tenure vacancies.

Under exceptional circumstances, a new faculty member may be recommended for tenure by a department chair, Vice President for Academic Affairs, or the President without going through the normal process.

In the event that one of the deadlines in the tenure process falls on a weekend or holiday, the deadline becomes the next working day at the University.

After the process is completed, the following action should be taken:

- a. The results of all balloting and recommendations from the department chair, and Vice President for Academic Affairs will be placed in the personnel file of the candidate.
- b. The portfolio and a copy of all recommendations will be returned to the candidate.
- c. Other confidential, relevant records leading to tenure shall then be destroyed.

Any exception to the policy on tenure is the domain of the president of the University in conjunction with the Regional University System of Oklahoma Board of Regents.

4.6.5 Guidelines for Achieving Tenure

The following guidelines apply in decisions regarding the awarding of tenure:

Five (5) years of service at Southeastern Oklahoma State University in a tenure-track appointment as an assistant professor, associate professor, and/or professor.

Demonstrated effective classroom teaching, research/scholarship, contributions to the institution and profession, and, in appropriate instances, successful performance of non-teaching or administrative duties.

Demonstrated ability to work cooperatively to strengthen the academic quality of the institution.

Noteworthy achievement in classroom teaching and on at least one other criterion: research/scholarship, contributions to the institution and profession, or, in appropriate instances, performance of non-teaching or administrative duties.

4.6.6 Evaluation of Tenured Faculty

The academic and professional performance of each tenured faculty member may be reviewed annually and must be reviewed at least every third year.

The results of the review will be placed in the personnel record of the tenured faculty member. The tenured faculty member should be given a copy of the review and an opportunity to respond before it is placed in the personnel folder. An unsatisfactory review will require another review within one year. An

unsatisfactory review at that time may be grounds for dismissal as listed under Sections 4.6.7 and 4.6.8 below.

4.6.7 Causes for Dismissal or Suspension of Tenured Faculty

No tenured member of the faculty shall have his or her appointment terminated in violation of the principles of tenure adopted by the Regional University System of Oklahoma Board of Regents except for one or more causes which may include, but are not limited to, the following.

- a. Committing a felony or other serious violation of law that is admitted or proved before a competent court, preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities, or violation of a court order which relates to the faculty member's proper performance of professional responsibilities.
- b. Moral turpitude.
- c. Insubordination.
- d. Professional incompetence or dishonesty.
- e. Substantial or repeated failure to fulfill professional duties or responsibilities or substantial or repeated failure to adhere to Board or University policies.
- f. Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities.
- g. An act or acts which demonstrate unfitness to be a member of the faculty.
- h. Falsification of academic credentials.
- i. Two consecutive unsatisfactory post-tenure performance evaluations.
- j. Bona fide lack of need for one's services in the University.
- k. Bona fide necessity for financial retrenchment.

The President shall have the authority to suspend any faculty member formally accused of a, b, c, d, e, f, g, h, or i (listed above). The President shall immediately notify the Board of Regents of the terms and conditions of any such suspension. A faculty member should be suspended only if harm to the faculty or students is possible or disruption of proper conditions for teaching and learning are threatened by the faculty member's continuance. During the suspension period, compensation for the suspended person should be continued. If during the suspension period the faculty member is convicted of or admits to the commission of a felony or a crime involving moral turpitude or other serious violation of law referenced above, the institution shall not continue compensation.

4.6.8 Dismissal of Tenured Faculty for Program Discontinuance or Financial retrenchment

A faculty member with tenure whose position is terminated based on genuine financial retrenchment, bona fide discontinuance of a program, or a lack of need for one's services will be given five (5) months' written notice unless an emergency arises.

Before terminating an appointment because of discontinuance of a program or department, or because of other lack of need of services, the institution will make reasonable efforts to place affected members in other suitable positions.

If an appointment is terminated because of financial retrenchment or because of discontinuance of a program, the released faculty member's position will not be filled by a replacement within a period of two years, unless the released faculty member has been offered reappointment at the previous status.

4.6.9 Dismissal of Tenured Faculty Member for Cause

Dismissal proceedings shall begin with a conference between the faculty member and the appropriate department chair. The conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of the tenured faculty member and the institution would be served by the faculty member's resignation. If so, the faculty member shall submit a resignation in writing, effective on a mutually agreed upon date. If this conference does not result in mutual agreement, the department chair will submit a recommendation in writing with rationale to the faculty member and to the Vice President for Academic Affairs. Within fourteen (14) days, the Vice President for Academic Affairs should have a conference with the faculty member.

The conference with the Vice President for Academic Affairs may result in agreement that the dismissal proceedings should be dropped. On the other hand, the conference may result in mutual agreement that the best interest of the tenured faculty member and the institution would be served by the faculty member's resignation. If so, the faculty member shall submit a resignation in writing, effective on a mutually agreed upon date. If this conference does not result in mutual agreement, the Vice President for Academic Affairs will submit his/her decision in writing with rationale to the faculty member and forward his/her decision to the President. If the President concurs in the recommendations for dismissal, the President shall send a written statement to the faculty member within ten (10) school days of his/her receipt of the Vice President for Academic Affairs' recommendation. Copies of this written statement should be sent to the Vice President for Academic Affairs and department chair. When the President notifies a tenured faculty member of the intention to recommend dismissal for cause, the tenured faculty member must be informed in writing in detail of the specific charges against him/her and be informed of the procedural rights that will be accorded to him/her. Every reasonable effort must be made by the President to ensure that the communication of this action is received by such faculty members without delay. Such notification must be made by registered or certified mail with return receipt requested.

4.6.10 Suspension of a Tenured Faculty Member

The President shall have the authority to suspend any faculty member formally accused of a, b, c, d, e, f, g, h, or I (listed above). The President shall immediately notify the Board of Regents of the terms and conditions of any such suspension. A faculty member should be suspended only if harm to the faculty or students is possible or disruption of proper conditions for teaching and learning are threatened by the faculty member's continuance. During the suspension period, compensation for the suspended person should be continued. If during the suspension period the faculty member is convicted of or admits to the commission of a felony or a crime involving moral turpitude or other serious violation of law referenced above, the institution shall not continue compensation.

4.6.11 Disciplinary Action Other Than Dismissal or Suspension

Disciplinary action affecting the terms of employment taken by the University against a tenured faculty member must be based upon causes stated in this chapter, or any other adequate cause which related

directly and substantially to the fitness of the tenured faculty member to perform professional duties. Disciplinary action shall begin with a conference between the tenured faculty member and the appropriate department chair. If, as a result of the conference, the departments chair finds that disciplinary action is warranted, a written recommendation for action and rationale for the recommendation for action should be forwarded to the VPAA. The Vice President for Academic Affairs should arrange a conference with the faculty member. The Vice President for Academic Affairs may determine no additional action is necessary. However, the Vice President for Academic Affairs may determine a plan of disciplinary action, in which case s/he should notify the faculty member in writing and place a copy of the disciplinary action in the faculty member's personnel file.

4.6.12 The Right of Appeal of Tenured Faculty

Each of the six state universities under the jurisdiction of the Regional University System of Oklahoma Board of Regents shall institute an Appellate Committee on Dismissal of Tenured Faculty Members. The committee shall not exceed nine (9) tenured faculty members, eight (8) of whom shall be elected by the faculty governing body of the University and one member appointed by the President of the University. A quorum shall be five (5) members or a majority of qualified members of the committee. Initially, one-half of the elected members shall be elected for twelve (12) months and one-half for twenty-four (24) months; thereafter, one-half shall be elected each year. No member may serve more than two consecutive terms. One or more alternate members of the committee shall be elected to serve in the event a regular member is unable to serve. If any member of the committee is an interested party in a case which comes before the Appellate Committee on Dismissal of Tenured Faculty Members, said committee member shall not serve on that case.

The incumbent committee shall serve until the completion of any case pending at the time their term of service expires.

The decision of the committee will be based on majority vote. The committee will elect its own chair, who will have the right to vote.

If a faculty member receives notice of a pending dismissal and so desires, he may request and shall be accorded a hearing before the Appellate Committee on Dismissal of Tenured Faculty Members. Failure to make a request in writing to the President within fourteen (14) days after receipt of notification shall constitute a waiver by such faculty member of his/her right to a hearing before the Appellate Committee on Dismissal of Tenured Faculty Members.

At Southeastern, this committee has been designated to serve as the grievance committee in the promotion process (see Section 4.5.3, Step 4).

4.6.13 Appeal Procedures for Tenured Faculty

- a. After a faculty member has requested a hearing before the Appellate Committee on Dismissal of Tenured Faculty Members, service of notice of hearing with specific charges in writing will be made at least twenty (20) days prior to the hearing. The faculty member may respond by waiving the hearing and filing a written brief or the matter may proceed to a hearing. If the faculty member waives a hearing, but denies the charge or asserts that the charges do not support a finding of

adequate cause, the Appellate Committee on Dismissal of Tenured Faculty Members will evaluate all available evidence, including testimony and documentary evidence presented by the University, and make its recommendation upon the evidence in the record.

- b. If the faculty member requests a hearing, the Appellate Committee on Dismissal of Tenured Faculty Members shall, with due diligence, and in keeping with the Administrative Procedures Act, considering the interests of both the University and the faculty member affected, hold a hearing and report its findings and recommendations to the President and to the involved faculty member.
- c. At hearings before the Appellate Committee on Dismissal of Tenured Faculty Members, faculty members and the University shall be permitted academic advisors and/or counsel. A court reporter will be retained by the University to record the proceedings. Each party will pay the entire cost of his or her copy of the transcript. The committee will determine whether the hearing should be public or private.
- d. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the University will attempt to secure the cooperation of such witnesses and will make available necessary documents and other evidence within its control. No employee of the institution, regardless of position, should be excluded or excused from appearing before the committee, if available.
- e. The faculty member and the University will have the right to cross examine all witnesses present. Depositions are admissible whenever a witness cannot appear.
- f. The committee may conclude: (a) that adequate cause for dismissal has been established by the evidence; (b) that adequate cause for dismissal has not been established by the evidence; or (c) that adequate cause for dismissal has been established, but an academic penalty less than dismissal, including removal of tenure, would be more appropriate. The committee may make any other recommendations it determines are appropriate. The committee's findings and recommendations shall be made to the President of the University. The committee shall send a copy of its findings and recommendations to the affected faculty member.
- g. The President shall notify the affected faculty member of his recommendation to the Board of Regents. The faculty member shall have the right to request the Board of Regents to review adverse findings and recommendations of the President. The request must be in writing and filed within fifteen (15) days after final notification by the President at the office of the Regional University System of Oklahoma Board of Regents. If the affected faculty member does not timely request that the Board of Regents review the President's findings and recommendations, the President's determinations become final and binding.
- h. In the event the faculty member submits a timely request to the Board of Regents to review adverse findings and recommendations of the President, the faculty member must indicate whether s/he desires a hearing of all of the evidence of the case; otherwise, the review will be a review of the record of the case. The Board of Regents has the discretion to determine whether the review will be a de novo hearing or a review of the record.
- i. Public statements and publicity about the case by the University will be avoided until the proceedings, including consideration by the Regents, have been concluded.

4.6.14 Non-tenured Faculty

Non-tenured faculty shall be afforded the same rights of academic freedom as tenured faculty.

Southwestern Oklahoma State University

POLICIES AND PROCEDURES FOR PROMOTION/TENURE OF FACULTY (SWOSU)

These policies and procedures developed at Southwestern Oklahoma State University have been approved by the Board of Regents of the Regional University System of Oklahoma.

INTRODUCTION

The following policies and procedures are to be used in recommending members of the faculty for promotion/tenure. These same procedures are to be used in recommendations for chair, with the obvious omission of those components where chair would otherwise be involved.

The primary responsibilities of the faculty at SWOSU are divided into three broad categories: (1) Teaching; (2) Scholarly Activities; and (3) Service. Therefore, evaluations of faculty for promotion/tenure are based upon performance in these three categories. The emphasis on each category will be dependent upon each faculty member's specific responsibilities. The primary areas of evaluation in each category are discussed in the criteria section below.

Professional development is any activity that enhances the faculty member's professional capability. SWOSU supports and recognizes professional development in teaching, scholarly activity, and service.

The candidate for promotion/tenure, with the assistance of the department chair/associate dean* (the primary supervisor), shall prepare a formal application for candidacy that includes documentation addressing performance in the three categories used in the evaluation process. The procedures used for the application, the review, and the selection processes are explained in the procedure section.

*In all cases, the department committee provides the first evaluation. The second evaluation comes from the department chair or the Associate Dean if holding dual role. Exceptions include those academic units that only have an Associate Dean and no Chair. In no case will faculty have more than six (6) levels of evaluation in the Tenure/Promotion process.

CRITERIA FOR EVALUATION FOR PROMOTION/TENURE

Teaching and Related Duties

The primary mission of SWOSU is fulfilled when faculty teach students subject matter, help students improve communication and reasoning skills, hold students accountable for learning, advise students while encouraging them to excel academically, and help students enter graduate and professional schools or obtain employment by supplying

recommendation letters and other support information. Involvement and performance in such endeavors will receive the greatest emphasis in evaluations.

All faculty are encouraged to participate in self-assessment for the purpose of development. Documentation will be the basis of a standardized university-wide evaluation from the departmental through the presidential level. Documentation will be accomplished using the applicable instruments as adopted by SWOSU. The general items used for evaluation are: *(The order of items is alphabetical and not meant to suggest priority of importance. The items are listed as examples only, and are not intended to be an exhaustive listing, candidates should document all activities they deem relevant).*

- a. Administrative evaluations* (chair, dean, and/or Director of Libraries)
- b. Contributions to course and/or curricula development
- c. Courses taught (*e. g. , including comments on size, level, degree of difficulty*)
- d. Courses that include responsibilities for course administration or coordination (*e. g. , team-taught courses, laboratory courses; delivery of group or individual instructional programs by faculty without traditional classroom teaching appointments*)
- e. Development of new teaching techniques and/or methods
- f. Peer evaluations** (*Faculty Peer Observation Form*)
- g. Preparation of instructional materials (*including library collection development and the securing of research and instructional materials required by faculty, students, and staff*)
- h. Professional Development (*Include any activities that directly affect faculty's classroom performance e. g. , workshops, short courses, seminars, post-graduate study, planning for future information and knowledge management needs of the University*)
- i. Development and implementation of service-learning projects
- j. Student evaluations*** (*Student Course Evaluation Form or a comparable instrument for faculty without traditional classroom appointments*)

Faculty are encouraged to conduct self-assessments of their classes (*Instructor's Course Evaluation Form*). At the faculty member's discretion, these evaluations may accompany the students' evaluations.

- Administrative Evaluations: A minimum of two most recent (2) evaluations shall be included. The evaluations must be since last promotion or since coming to SWOSU if the candidate has not been promoted/tenured at SWOSU.
- Peer Evaluations: Evaluations from a minimum of three different evaluators must be obtained no earlier than Fall semester of the prior year. Two of these evaluators are selected by the faculty member and one is selected by the Chair/Associate Dean, and must be so designated on the peer evaluation form. In consideration of the Chair/Associate Dean for promotion or tenure, two evaluators are selected by the Chair/Associate Dean and one is selected by a committee of full professors of the department if possible, and must be so designated on the peer evaluation form. In situations where there are not at least

two full professors in the academic unit, the committee shall be composed of all tenured faculty within the academic unit.

- **Student Evaluations:** Evaluations must be conducted for all sections taught within the four most recent fall and spring semesters. These may not include the current semester or summer terms. The evaluations shall be administered in an impartial manner by a third party.

Scholarly Activities

Scholarly activities associated with the applicant's teaching and/or professional discipline shall be a part of each evaluation. Applicants receiving release time for scholarly activities must document a higher level of scholarly accomplishments, which will be properly weighted in their evaluations.

Presentations in this category should include descriptive summaries of the applicant's scholarly achievement (*The ordering of items is alphabetical and not meant to suggest priority of importance. The items are listed as examples and not intended to be an exhaustive listing, candidates should document all activities they deem relevant*).

Acceptance of original works of art, musical compositions or arrangements, architectural designs, poetry and other literature, dance, or other of the Fine Arts.

Curriculum development activities including, but not limited to, innovation in the classroom, development of new courses, updating or improving of existing courses, implementation of best practices, curriculum alignment, creation of new degree programs, and innovation in pedagogy

Editing (including newsletters and the description and preservation of historical and/or scholarly resources)

Grants Funded/Unfunded

Performances or exhibits involving the various Fine Arts

Presentation of papers before professional groups

Professional development, activities in professional organizations appropriate to the teaching field or areas of responsibility including committee appointments, session chair, discussant or consultant performances, workshops, exhibits, or seminars which relate more to scholarly development than to teaching activities

Publications of original journal articles with abstract or first and last page of journal (includes web publications)

Reviewing of materials submitted by others

Submission of original journal articles (include abstract or first and last page of journal)

Textbooks (authored)

Monographs

Poster Presentations before professional groups

Each department or academic unit committee may designate other specific activities which are unique to a certain field as being appropriate within this category. Individual academic units are encouraged to develop and submit standing documents describing scholarly activity in their field to be used as a reference by all levels of review in the process.

Responsibility for establishing the importance and scholarly nature of all activities rests with the applicant. The applicant should not assume that all members of the evaluation committees are familiar with comparative values within each discipline, such as the relative prestige of journals, whether or not journal articles are refereed, whether or not the work has been published, or the importance of audiences and locales for exhibits or performances. All activities should be those which have been presented for the judgment of the applicant's academic peers.

Service

Faculty and chairs are expected to provide certain services to SWOSU and to the public. When faculty receive released time for service they shall document these activities. Service to SWOSU and to the public will be properly considered in applicants' evaluations. A list of example activities considered as service is provided below. There are other activities that will qualify (*order of items is alphabetical and not meant to suggest priority of importance*).

a. University Service

1. Advising students; include number per semester
2. Assisting students in career development and employment searches
3. Assisting with university-sponsored events (*e. g. , SWIM, competitions and tournaments, summer camps*)
4. Participating in faculty career development (*e. g. , mentor program, presenting workshops for other faculty*)
5. Presenting in-service seminars or demonstrations (*including education of faculty and students in library technology*)
6. Professional Development (*Includes activities that enhance ability to perform services, e. g. , training to be an consultant-evaluator, advisor, or consultant; attending workshops, seminars, or meetings relevant to service activities*)
7. Serving as a consultant in other disciplines and/or departments (*including delivery of reference services by librarians*)
8. Serving as a chair or member of university committees (*e. g. accreditation, self-study, departmental, school, university-wide*)
9. Sponsoring student organizations
10. Assisting in student recruitment and retention (Freshman Orientation, Alternative Admissions, etc.)

Each department or academic unit committee may designate other specific activities which are unique to a certain field as being appropriate within this category.

b. Community and Public Service

1. Assisting in campus community fund drives
2. Consulting, speaking, or performing activities as a representative of SWOSU
3. Serving as a board member of charitable organizations or organizations relevant to education (e. g. , Chamber of Commerce Education Committee)
4. Serving as an officer on a professional board, not discipline related
5. Serving in community organizations or community sponsored events such as Special Olympics.

Each department or academic unit committee may designate other specific activities which are unique to a certain field as being appropriate within this category.

PROCEDURES FOR THE GRANTING OF PROMOTION/TENURE

Application

When a faculty member has met the minimum requirements, as stated in the *Faculty Handbook* (RUSO Sections 3.2.2, 3.2.3, and 3.2.4), and wishes to be considered for tenure/promotion in rank, a formal application shall be submitted by the applicant to the department chair/associate dean. A faculty member may apply for either tenure or promotion, or both in a given year. **The chair/associate dean shall assist the faculty member in monitoring minimum requirements and in preparing evaluation materials.** However, it should be emphasized that it is the responsibility of the faculty member to know and follow the application process.

All applications shall consist of only one hardback, three-ringed, tabbed, no-more-than-two-inches-thick notebook (provided by the Provost's office) with the applicant's name and category placed on the spine. The first page of the application should consist of a description of all duties and responsibilities assigned the applicant (i.e., job description) for the years included in the application e. g. , teaching, administration, supervision, advising, and load reduction with justification. This description should be formulated by the department chair/associate dean with assistance from the applicant. The information in the application shall be organized according to the Requirements of Promotion/Tenure Review Document outlined in a later section. The application should minimize raw data (i.e., include detailed listings and summaries when possible) and information pertaining to previous rank or employment and focus on accomplishment during the applicant's present rank. All activities and accomplishments shall be dated. The recommendation for promotion will be based solely on activities conducted since the last promotion. In the case of tenure all professional activities and accomplishments will be considered. Activities and accomplishments before coming to SWOSU were considered in determining entry rank; therefore, activities and accomplishments before SWOSU will not be reconsidered for further promotion.

The application is the property of the applicant and will be returned immediately if the applicant withdraws or after completion of the tenure and promotion review process.

Sayre Campus

For procedures involving faculty members from the College of Associate and Applied Programs, the duties of “chair” shall be completed through collaboration between the Dean of the College of Associate and Applied Programs and the chair of the associated department in the College of Arts and Sciences or the College of Professional and Graduate Studies. In these cases, “dean” shall refer to the Dean of the College of Arts and Sciences or the College of Professional and Graduate Studies as determined by the associated department.

Review Process and Schedule for Promotion and Tenure

When a faculty member is to be considered for **tenure**, the department chair/associate dean shall call a meeting of the tenured members of the academic unit for a discussion of the case. The academic unit’s tenured members then elect their own chair and together form the Academic Unit Committee. The faculty member shall be reviewed and evaluated by Academic Unit Committee, and a poll by secret ballot will be taken to determine whether a recommendation for the granting of tenure will be made. This review may be conducted in a manner that allows for administrative information from within the department and for input from non-tenured colleagues, students, alumni. In the event that the number of tenured faculty members in the academic unit is fewer than five (5), the actual tenured members in the academic unit, plus additional tenured faculty members appointed by the chief academic officer or the designee to form a group of at least five (5) tenured faculty members shall act as an *ad hoc* committee for tenure recommendation.

When a faculty member is to be considered for **promotion**, the department chair/associate dean shall call a meeting of the tenured members of the academic unit for a discussion of the case. The academic unit’s tenured and ranked members then elect their own chair and together form the Academic Unit Committee. The Academic Unit Committee shall consist of all tenured faculty above the rank of the candidate for promotion excluding the chair/associate dean of the academic unit and any other candidates for promotion to the same rank. The faculty member shall be reviewed and evaluated by Academic Unit Committee, and a poll by secret ballot will be taken to determine whether a recommendation for the granting of promotion will be made. In the event that a department is not able to form a committee of at least three members, additional members are selected by the following methods, in order, until a committee of at least three is obtained.

- a. Tenured academic unit faculty at the rank of the candidate for promotion.

- b. All academic unit tenured faculty at or above the rank of the candidate for promotion shall submit a plan to select additional members to produce a committee of three that is acceptable to the dean of the college.
- c. The Chief Academic Officer shall appoint tenured faculty above the rank of the candidate from other academic units to produce a committee of three.
- d. If committee members are drawn from outside the applicant's academic unit, no associate deans, deans or applicants for the same rank shall be eligible for committee membership.

The following information applies for both tenure and promotion:

A simple majority rule shall prevail. With the exception of the Academic Unit Committee, the chair or individual from each level of the hierarchy shall report its decision (i.e., grant or deny) to the applicant on the Cover Sheet for promotion/tenure documents. The results of the balloting of the Academic Unit Committee are confidential, including vote counts *and* the decision to grant or deny. The applicant shall have access to the comments at every level of review. The Academic Unit Committee summary should reflect the majority opinion of the Committee; minority opinions should be so indicated. The Academic Unit Committee should carefully review its comments to ensure that the results of its balloting remain confidential.

Those applicants receiving unfavorable recommendation (vote to deny) may respond on the Cover Sheet which accompanies each application and return the Cover Sheet and/or application to the chair or individual at the next level. The options shall be (1) to hold a conference with the chair or individual in the event of a recommendation to deny, (2) to withdraw the application, and/or (3) to forward the application to the next level. If the applicant decides to continue, the summary report from each level, excluding rankings where indicated, shall be sent to all higher levels as input and shall be communicated to the applicant.

The summary will include the results of the committee vote, majority/minority opinions and statements related to the applicant's qualifications for tenure or promotion. A record regarding the vote of individual committee members and statements or opinions expressed by individual committee members will not be included in the summary report or retained in committee records.

Applicants who are off campus related to their primary position assignment, i.e., College of Pharmacy faculty, may request to have the recommendations faxed to them for their signature indicating their choice of options. A faxed copy of their signature holds the same weight as their original signature.

The chief academic officer will report these recommendations as well as his/her recommendation to the president. A recommendation for tenure may also come directly from the chief academic officer or from the president of SWOSU without

prior recommendation from the college and/or academic unit. The president will then make recommendations to the Board.

A list of the levels follows:

- Academic Unit Promotion/Tenure Review Committee
- Chair/Associate Dean of the Academic Unit
- Dean of the College
- Faculty University Promotion and Tenure Review Committee
- Chief Academic Officer
- President

Should the applicant be a member of a unit that has both a department chair and an associate dean, the levels will be as follows:

- Department Promotion/Tenure Review Committee
- Department Chair
- Associate Dean/Dean (joint recommendation)
- Faculty University Promotion and Tenure Review Committee
- Chief Academic Officer
- President

The Academic Unit Promotion/Tenure Review Committee

The committee shall elect a chair who along with the other members of the committee shall complete a formal evaluation, which includes a vote to grant or deny promotion/tenure and rationale for the decision (Academic Unit Promotion/Tenure Recommendation Form). The members shall consider the criteria described in Section B above. A majority of the committee shall prevail, including those abstaining. (Abstaining has the same meaning as a "deny" vote.) The chair of the committee does vote.

Procedure for voting by academic unit committee: Following discussion of a candidate, a vote is taken on recommendation to "grant" or "deny" promotion or tenure. Each vote is by separate, standardized secret ballot; ballots are prepared in advance but not distributed until discussion on a candidate is completed. Majority rule decides the recommendation. In the case of a tie vote (including abstaining votes) the recommendation is deny.

The committee chair shall record the recommendation and compile a written summary of the rationale ensuring that the responses from the individual committee members remain confidential. The written summary shall be added to the promotion/tenure documents for review by the applicant.

The options for the applicant shall be (1) to hold a conference with the chair in the event that unfavorable comments were received, (2) to withdraw the application, and/or (3) to forward the application to the next level. The applicant may respond to the written summary by submitting a written comment and adding it to the promotion/tenure

documents for review by the next level.

If the applicant decides to continue, a summary report is sent to department chair/associate dean as input. The summary report will include the results of the committee votes, majority/minority opinions and statements related to the applicant's qualifications for tenure or promotion. A record regarding the vote of individual committee members and statements or opinions expressed by individual committee members will not be included in the summary report or retained in committee records.

Applicants who are off campus related to their primary position assignment, i.e. College of Pharmacy faculty, may request to have the recommendations faxed to them for their signature indicating their choice of options. A faxed copy of their signature holds the same weight as their original signature.

The Chair/Associate Dean of the Department

If the applicant decides to move the application forward, the department chair/associate dean shall submit a separate evaluation and recommendation and report the decision (i.e., grant or deny) to the applicant on the Cover Sheet for promotion/tenure documents. If denial is recommended the Chair/Associate Dean shall provide the applicant with a written summary response explaining the reasons for denial.

Those applicants receiving unfavorable recommendation (vote to deny) may respond on the Cover Sheet with options which accompanies each application and return the application to the chair or individual of the next level.

The options shall be (1) to hold a conference with the Chair/Associate Dean in the event of a no vote, (2) to withdraw the application, and/or (3) to forward the application to the next level.

If the applicant decides to continue, the summary report from each level, excluding rankings where indicated, shall be sent to the dean of the college. The summary will include the opinions and statements related to the applicant's qualifications for tenure or promotion. A chair/associate dean applying for promotion/tenure will forgo the procedure of evaluating himself/herself.

Applicants who are off campus related to their primary position assignment, i.e. College of Pharmacy faculty, may request to have the recommendations faxed to them for their signature indicating their choice of options. A faxed copy of their signature holds the same weight as their original signature.

The Dean of the College

If the applicant decides to move their application forward, the dean of the college shall prepare an evaluation and recommendation and report the decision (i.e., yes or no) to the

applicant on the coversheet for promotion/tenure documents. If denial is recommended the Dean shall provide the applicant with a written summary response explaining the reasons for denial.

Those applicants receiving unfavorable recommendation (vote to deny) may respond on the Cover Sheet with options which accompanies each application and return the application to the individual of the next level. The options shall be (1) to hold a conference with the Dean in the event of a no vote, (2) to withdraw the application, and/or (3) to forward the application to the next level.

If the applicant decides to continue, the summary report from each level, excluding rankings where indicated, shall be sent to the Faculty University Promotion and Tenure Review Committee (FUPTRC). The summary will include the opinions and statements related to the applicant's qualifications for tenure or promotion. A dean applying for promotion/tenure will forgo the procedure of evaluating himself/herself.

Applicants who are off campus related to their primary position assignment, i.e. College of Pharmacy faculty, may request to have the recommendations faxed to them for their signature indicating their choice of options. A faxed copy of their signature holds the same weight as their original signature.

The Faculty University Promotion and Tenure Review Committee (FUPTRC)

The committee shall be composed of three faculty members from the College of Arts and Sciences, three faculty members from the College of Professional and Graduate Studies, one faculty member from the College of Pharmacy, and one from the College of Associate & Applied Programs OR the SWOSU Libraries. The seat for the College of Associate and Applied Programs or SWOSU Libraries will alternate as two-year terms expire.

Terms for all seats will be staggered so that only four of the total eight seats are open each year. Members of the committee shall serve two year terms and shall not be able to serve consecutive terms. Department chairs, associate deans, deans and applicants shall not be eligible for committee membership.

The members shall be selected in the following manner:

The Senate Executive Committee (with assistance, if needed) will compile a list of faculty eligible (by college) for SWOSU Promotion/Tenure Review Committee by the August Senate meeting. The Faculty Senators of each college will meet following the September Senate meeting and select from among the list of eligible and willing faculty who meet the minimum requirements of tenure, rank of associate professor, and seven years of experience at SWOSU and may not be a departmental chair during the current academic year. The Faculty Senate President (or designee) will forward the names to the Chief Academic Officer by the end of the first full week of October. The names may not include any faculty members applying for promotion and/or tenure. If these requirements prohibit a college from submitting a slate of eligible faculty, the requirements will be

lowered in the following order:

1. If eligible candidates from the College of Associate & Applied Programs and the SWOSU Libraries are unable to meet the requirement of rank, this requirement will be waived for the College of Associate & Applied Program and the SWOSU Libraries.
2. The years of experience will be reduced first to six and then to five.
3. Service on the committee the previous term is removed.
4. If there are fewer than three candidates from the College of Arts and Sciences and the College of Professional and Graduate Studies due to an eligible candidate refusing to serve, then only the remaining eligible candidates are submitted.
5. If there are fewer than three candidates and all eligible candidates have agreed to serve, then the Faculty Senators from that college shall submit a plan to the Chief Academic Officer for filling the vacancy(ies) to attain a list of three candidates from the College of Arts and Sciences and the College of Professional and Graduate Studies. Once an acceptable plan is agreed upon, the slate of three candidates will be submitted.

Procedures for FUPTRC

Confidentiality

All deliberations and records of the committee are confidential. All members of the committee are to maintain this confidentiality.

Committee Officers

The Faculty University Promotion and Tenure Review Committee's (FUPTRC) first action is to elect a chair from its members only. The chair shall be in the second year of membership or shall have served previously on the FUPTRC. The chair of the committee does vote. The committee has the prerogative of deciding if it wishes or needs additional officers, for example a secretary or clerk, and fills such offices by election or appointment from among its members as it sees fit.

Documents

The Chief Academic Officer places applicants' documents in a secure location which is accessible to committee members.

Review of Documentation

The chair informs committee members of the location of documents so that committee members may begin their review of documents. The committee will decide the order in which categories will be considered.

Notes are the personal property of the individual committee member and serve to refresh one's memory during full committee discussion of a candidate. Members are also urged individually to make a rough, preliminary rating ('exceeds expectations',

'meets expectations', 'does not meet expectations') of the candidates prior to the meeting at which a vote will be taken.

Eligibility

The first evaluation action taken by the full committee will be a review of eligibility requirements of candidates. Any candidate found ineligible will not be reviewed further. Such candidates will be so notified when the committee makes its reports at the end of the process.

Discussion and Rating of Candidates

The committee will discuss and vote on each candidate, one at a time. Decisions concerning all candidates in a category will be made before moving to a consideration of candidates in another category. The committee will decide the order in which categories will be considered. Prior to a vote to grant or deny, the committee will assign a rating ('exceeds expectations', 'meets expectations', 'does not meet expectations') to each candidate in a category and summarize the strengths and weaknesses, for inclusion in statements to be reported to the candidate.

Voting

Following discussion and rating of a candidate, a vote is taken on a recommendation to 'grant' or 'deny' promotion or tenure. Each vote is by separate, standardized secret ballot; ballots are prepared in advance but not distributed until discussion on a candidate is completed. Majority rule decides the recommendation. A tie (the committee has eight members) means no majority, resulting in a recommendation to 'deny'. Following voting on all candidates within a category, the chair tabulates and reports the vote and rating for each candidate. Candidates within a category are divided into two groups, those for whom the majority position was to recommend 'grant' and those for whom the decision was to recommend 'deny.'

Draft Reports

The chair will prepare a summary list of committee recommendations (i.e. grant or deny) and ratings by academic rank and tenure, which is submitted to the full committee for final approval. Additionally, the chair will prepare a draft statement for each candidate with statements of strengths and/or weaknesses to support the committee's decisions.

If the applicant decides to move their application forward, the chair shall prepare an evaluation and recommendation and report the decision (i.e., grant or deny) to the applicant on the Cover Sheet for promotion/tenure documents. If denial is recommended the chair shall provide the applicant with a written summary response explaining the reasons for denial. In the letter to the applicant, the chair shall include a request for written response from the applicant stating that the summary was received. If no response is received within a week following the mailing, the chair shall contact the applicant to confirm receipt.

Those applicants receiving unfavorable recommendation (vote to deny) may respond on the Cover Sheet with options which accompanies each application and return the form to the individual of the next level. The options shall be (1) to hold a conference with the Chair in the event of a no vote, (2) to withdraw the application, and/or (3) to forward the application to the next level.

If the applicant decides to continue, the summary report from each level shall be sent to the Provost. The summary will include the opinions and statements related to the applicant's qualifications for tenure or promotion.

Applicants who are off campus related to their primary position assignment, i.e. College of Pharmacy faculty, may request to have the recommendations faxed to them for their signature indicating their choice of options. A faxed copy of their signature holds the same weight as their original signature.

Report to the Chief Academic Officer

The chair will send the committee's summary list of committee recommendations and ratings by academic rank and tenure of those faculty who desire to continue the process, to the Chief Academic Officer. This summary list reports only the committee's majority decision and candidate ratings, not the numbers of votes to 'grant' or 'deny.'

Communication Between the Committee and Others

The Chief Academic Officer, President of SWOSU, and any other agency with a right to further information will direct their comments to the Chair of the FUPTRC, who shall be its only spokesperson.

Appeals

The Chief Academic Officer will report in writing to the Chair of the FUPTRC any appeals that are made and by whom. In the event of an appeal and should communication with the FUPTRC be necessary, the chair of this committee shall be its sole spokesperson; confidentiality of individual committee member comments shall be maintained.

Maintenance of Candidates' Documents

All documents of all candidates shall be maintained by the Chief Academic Officer until the entire university process, through appeals and final decision by the President following the appeals, is concluded. Candidates are advised to maintain a duplicate copy.

Maintenance of Committee Records

The Chair of the FUPTRC shall keep secure all committee ballots, ratings, recommendations, comment sheets, and copies of reports until notified that the entire university process, through appeals and final decision by the President following the appeals, is concluded. Unless notified in writing to keep them, all committee records are to be destroyed following notification, in writing (non-

electronic), by the Chief Academic Officer that the entire process is concluded.

Final Reports

The Chair of the FUPTRC, with approval of the committee, shall report in writing to the Chief Academic Officer on procedural problems encountered and/or recommendations to improve the procedure. The Chief Academic Officer shall report in writing to the chair when the entire university process, through appeals and final decision by the President following the appeals, is concluded.

Faculty member recommendations and ratings from the Faculty University Promotion and Tenure Review Committee should be retained by the Chief Academic Officer.

The President and the Chief Academic Officer

Notifications to candidates regarding the outcome of their applications will include a summary of the relevant remarks and recommendations regarding the candidate from all levels of the process. The President and the Chief Academic Officer shall determine the tenure recommendations to be submitted to the Board of Regents of the Regional University System of Oklahoma. The confidential letters of recommendation from the levels of the process will be held in accordance with Oklahoma law, and destroyed when and if appropriate.

Forms associated with Promotion/Tenure may be found on the SWOSU website at:

<http://www.swosu.edu/facstaff/tenure/forms.asp>

Appeals Procedure

An applicant may appeal to SWOSU Promotion/Tenure Appeals Committee once his/her application has been forwarded to all levels of the review process (i.e., through the level of Chief Academic Officer). The basis for the appeal must be a violation of procedural due process. The applicant must state the reason(s) for the appeal in writing. The Promotion/Tenure Appeals Committee will only review the applicant's submitted documentation in forming its recommendation. The recommendations from the Committee will be forwarded to the President.

The Promotion/Tenure Appeals Committee will be composed of one faculty member from each of the College of Arts and Sciences, the College of Professional and Graduate Studies, the College of Pharmacy, and the College of Associate and Applied Programs or the SWOSU Libraries. The College of Associate & Applied Programs will fill this committee seat in odd-numbered years (e. g. , 2015, 2017, etc.) and the SWOSU Libraries in the even-numbered years (e. g. , 2016, 2018, etc.). Selections by the Faculty Senators of that college or library are forwarded to the Chief Academic Officer in the selection process for SWOSU Promotion/Tenure Review Committee. A fifth member of this committee will be a member of the Appellate Committee on Dismissal of Tenured Faculty Members and may not have been a candidate or on the slate of three during the current academic year. This individual

will be selected by the Faculty Senate. Two (2) additional members of this committee, consisting of a departmental chair/associate dean and a dean from one of the colleges will be appointed by the Chief Academic Officer. Members of the Promotion/Tenure Appeals Committee shall not have been involved in the promotion/tenure process as candidates or as members of Faculty University Promotion/Tenure Review Committee during the academic year.

The Promotion/Tenure Appeals Committee shall elect a chair, who will be a voting member. The chair should report the committee's recommendation in writing to the appellant and SWOSU president. The President should inform the appellant, in writing, the acceptance or rejection of the Appeals Committee recommendations, prior to presenting the faculty list for promotion/tenure, to the Board of Regents for their approval. In the case of a rejection of the Appeals Committee recommendation, the president must give the appellant, in writing, the reasons for such action.

Promotion/Tenure Timeline

Candidate:	Commits to Promotion and/or Tenure by letter or email to the Department Chair/Associate Dean	By the end of the second full week of September
Faculty Senate:	Faculty Senators will select members of the FUPTRC and Appeals Committee (following guidelines in C. 6. above).	September Faculty Senate meeting
Faculty Senate President (or designee):	Forward faculty names from each college to the Chief Academic Officer	By the end of the first full week of October
Candidate:	Submits documents to the Department Chair/Associate Dean	By the first Monday after Fall Break
Chief Academic Officer:	Approves appointment of the Faculty University Promotion/Tenure Review Committee (FUPTRC).	By the first Monday after Fall Break
Chair/ Associate Dean:	Formulates Departmental Promotion/Tenure Review Committee and distributes documents to Departmental Committee	By the first Wednesday after Fall Break
Dept. Committee:	Forwards documents and recommendations to the Department Chair/Associate Dean	By the second Friday in November
Chair/ Associate Dean:	Forwards documents and recommendations to the Dean	By the first Friday in December
Dean:	Forwards documents and recommendations to the Chief Academic Officer	By the end of the second full week of January
FUPTRC Chair:	Forwards documents and recommendations to the Chief Academic Officer	By the end of the third full week of February
Chief Academic Officer:	Forwards documents and recommendations to the President	By the end of February
President:	Notifies candidates of final recommendation for tenure and approval or denial of promotion	By the end of the first full week of March
Candidate:	Final day for filing appeal	By the first Friday after Spring Break
Appeals Committee Chair:	Forwards recommendation(s) from the Appeals Committee to the President	By the end of the first full week of April
RUSO Regents:	Considers recommendations for tenure from President	Designated board meeting

Guidelines For Preparing Promotion/Tenure Review Document

The candidate, in consultation with the departmental chair (Dean of the Sayre Campus), shall prepare a Promotion Review Document and/or a Tenure Review Document citing background, accomplishments, and duties using the format shown below.

I. General Information

- A. Appropriate cover sheet
- B. Name and a description of the duties and responsibilities (i.e., job description) for the years included in the application
- C. Educational background
- D. Employment record (including positions, institutions, and dates, beginning with most recent)
- *E. Citations in biographical works (e. g. , American Men & Women of Science)
- *F. Awards and honors
- *G. The previous letters of denial or approval from previous applications of the same rank or tenure at any level, whichever is applicable.
* If applicable.

II. Teaching

Using the criteria cited in Section I. B. 1 (Policies and Procedures for Promotion/Tenure of Faculty), the candidate shall detail teaching competence in a thorough but concise manner.

- A. Courses taught--course number, title, semester, number of students
 - *B. Team- or turn-taught courses, coordinated and/or administered (course number, title, semester, number of students).
 - *C. Contributions to course and/or curricula development (course number, title, contribution)
 - *D. Preparation of instructional materials (course number, title, type of materials)
 - *E. Development of new teaching techniques and/or methods (course number, title, technique or method)
 - F. Peer evaluations (provide Faculty Peer Observation Forms)
 - G. Administrative evaluations (provide the Chair Evaluation of Faculty Forms)
 - H. Student evaluations (provide a separate summary of statistical data and written comments for each section taught for the previous four semesters, not including summer.)
 - I. Professional development (official documentation)
 - J. Student mentoring
 - K. Other
- * If applicable.

III. Scholarly Activities

Using the criteria cited in Section I. B. 2 (Policies and Procedures for

Promotion/Tenure of Faculty), the candidate shall detail accomplishments, when applicable, in scholarly activities in a thorough but concise manner.

- A. Research (brief summary of research activities and/or interests)
- B. Textbooks (bibliographical list of textbooks and/or contributions to textbooks)
- C. Refereed journal articles (bibliographical list of articles indicating (*) primary authorship)
- D. Scholarly papers (bibliographical list of papers indicating (*) primary authorship)
- E. Grants and contracts (listing of grants and contracts indicating (*) those funded)
- F. Exhibits
- G. Musical compositions (listing of musical compositions)
- H. Musical arrangements
- I. Performances
- J. Construction design
- K. Unrefereed journal articles (bibliographical listing indicating (*) primary authorship)
- L. Curriculum development/innovations (indicate course number, title, types of development)
- M. Works of art
- N. Editing/reviewing (list journals and other publications)
- O. Professional development (documentation)
- P. Student mentoring in research or scholarly activity as a co-author or contributor on a project
- Q. Other

IV. Service

Using the criteria cited in Policies and Procedures for Promotion/Tenure of Faculty, the candidate shall detail appropriate service activities.

Tulsa Community College
(no policy)

University of Central Oklahoma

APPENDIX E
TENURE AND PROMOTION
Revised May 2013

APPENDIX E

TENURE AND PROMOTION

E.1 ACADEMIC TENURE

E.1.1 DEFINITION OF TENURE

Tenure is a privilege and a distinctive honor. Tenure is defined as continuous re-appointment which may be granted to a faculty member in a tenure-track position, subject to the terms and conditions of appointment. The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the university. While specific responsibilities of faculty members may vary because of special assignments or because of the particular mission of an academic unit, all evaluations for tenure shall address at a minimum whether each candidate has achieved excellence in: 1) effective classroom teaching; 2) scholarly or creative achievement; 3) contributions to the institution and profession; and 4) performance of non-teaching semi-administrative or administrative duties. Each university may formulate standards for this review and determine the appropriate weight to be accorded each criterion consistent with the mission of the academic unit. (Section 3.4.c1, RUSO)

Academic tenure is a condition of employment under which termination may occur only for adequate cause as determined by due process. Tenure ensures freedom in teaching, scholarly or creative activities, and contributions to the institution and profession. Tenure, by its requirement of due process hearings, is an essential and substantive protection for academic freedom. Together with academic freedom, tenure is essential to the success of the university in fulfilling its mission.

The granting of tenure is the most important decision made in the development of an outstanding faculty. It is a selective process, which recognizes the individual as worthy to be a continuing member of the faculty based on performance during a trial period. The importance of this decision to the university dictates that tenure is awarded only when there is no reasonable doubt of the individual's long-term contribution to the goals of the university. Tenure and promotion are separate categories of achievement and are not connected to each other, e.g. an Assistant Professor can be tenured without being promoted to an Associate Professor or an Assistant Professor can be promoted to Associate Professor without being tenured.

E.2 TYPES AND CONDITIONS OF FACULTY APPOINTMENTS

E.2.1 TEMPORARY

A temporary appointment is one in which the faculty member is appointed to the regular faculty for a period of one year or less. Upon termination of the temporary appointment, the position, if continued, will be opened and advertised to be filled again.

(Section 3.2.3, RUSO).

E.2.2 NON-TENURE TRACK

*A non-tenure track appointment is one in which the faculty member is appointed as full-time faculty member but is not eligible to participate in tenure or promotion processes. A faculty member on non-tenure appointment may be continued annually, at the option of the university. A non-tenure track appointment may be changed to a tenure track appointment upon written agreement between the university president (or designee) and the faculty member. **(Section 3.2.b2, RUSO).***

In the event that a faculty member on a non-tenure track appointment is the successful candidate of a search for a tenure track position, all but one year of the faculty member's non-tenure track appointment may, upon recommendation of the screening committee, department chair/director and dean, count toward tenure and promotion consideration. In the event that a faculty member in a temporary appointment is the successful candidate of a search for tenure track position, all but one year of the faculty member's temporary appointment may, upon recommendation of the screening committee, department chair/director and dean, count toward tenure and promotion consideration.

E.2.3 TENURE TRACK

*A tenure track appointment is one in which the faculty member may become eligible to receive tenure in accordance with policy. Tenure track appointments are for one (1) year, renewable annually at the option of the university. **(Section 3.2.b1, RUSO).** Faculty members holding academic rank above the level of instructor or lecturer (assistant professor, associate professor, or professor) shall be on probation for a minimum of five (5) years after date of first being employed by the university in a tenure track position. Years of experience in any position other than a tenure track position may be used for the probation only if approved by the university president. Seven (7) years shall be the maximum probationary period for the eligible faculty member to become eligible for tenure. If, at the end of seven (7) years any faculty member has not attained tenure, there will be no renewal of appointment for the faculty member unless a specific recommendation for waiver of policy from the president to the contrary is approved by the Board each year **(Section 3.4.d1, RUSO).***

For the purpose of determining probationary employment of faculty members for tenure consideration, sabbatical leave counts as a part of the period of probation-

ary employment, and a leave of absence is not included as part of the probationary period (Section 3.4.d.2, RUSO).

E.2.4 TENURED

A tenured appointment is reserved for those regular faculty members who have been granted tenure by the Board. Tenured faculty members are on continuous appointment and, therefore, are not notified of their appointment status for the following year unless their appointment is being terminated and/or for a post tenure-review process (Section 3.2.a, RUSO).

The procedures for dismissal of tenured faculty are detailed in Chapter 2, Section 2.6 of this handbook.

E.2.5 ADMINISTRATIVE

An administrative appointment is one in which the faculty member is assigned to perform executive duties and function as part of the administration of the university. Examples include assistant deans, chairpersons, and directors. (Section 3.2.b4, RUSO)

Tenure does not apply to administrative positions, but a tenured faculty member appointed to an administrative position retains tenured status previously granted as a member of the faculty. (Section 3.4.c4, RUSO)

See [Appendix F](#) for promotion policy for academic personnel having administrative duties.

E.2.6 CONDITIONS TO ALL APPOINTMENTS

The Board may not obligate itself beyond a current fiscal year for salaries or compensation in any amount to its faculty employees except as authorized by the Oklahoma Constitution. (Section 3.1, RUSO).

Tenure is granted by the Board of Regents of the Regional University System of Oklahoma upon recommendation of the university president. Determination of merit and recommendation for granting tenure shall comport with the minimum criteria and policies and procedures contained in this chapter. (Section 3.4.c2, RUSO).

The terms and conditions of every appointment or reappointment shall be stated in writing and be in the possession of both the institution and faculty member before the appointment is consummated. Tenure shall be granted only by written notification after approval by the Board. Only full-time faculty members holding academic rank of assistant professor, associate professor, or professor may be granted tenure. Qualified professional librarians shall be considered faculty members if they are given academic rank. (Section 3.4.c3, RUSO).

The Board intends that tenured personnel are reappointed to the faculties of the institutions under its control within existing positions that are continued the next academic year. The Board reserves the right to terminate tenured faculty at the

end of any fiscal year if the Legislature fails to appropriate or the Oklahoma State Regents for Higher Education fails to allocate sufficient funds to meet obligations for compensation. (Section 3.4.c5, RUSO).

The Board recommends that not more than sixty-five percent (65%) of the full-time faculty at a university receive tenure (Section 3.4.c6, RUSO).

E.3 PRE-TENURE REVIEW

The purpose of the pre-tenure review is to give tenure-track faculty members a constructive peer evaluation prior to tenure review. Tenure track faculty members shall be informed of alterations or improvements in performance to enhance their chances for a positive tenure recommendation by the department. For purposes of Appendix E, department shall be synonymous with an academic department or academic school. In no case shall the resultant faculty performance evaluation be construed as a recommendation for or against tenure. All proceedings of the pre-tenure review process are subject to the Confidentiality Clause.

Confidentiality Clause: Confidentiality is an integral part of the pre-tenure review process. Any individual participating in the pre-tenure review process shall hold all deliberations, votes, recommendations, or any other information in strictest confidence, subject only to the appeals process as outlined in the faculty handbook or subpoena.

E.3.1 PROCEDURES FOR ADMINISTERING PRE-TENURE REVIEW

The pre-tenure review shall be a component of a tenure-track faculty member's annual faculty performance evaluation that occurs two years prior to eligibility for tenure review and shall be administered in accordance with the following procedures:

- a. By May 1 of each year the college dean shall notify each college faculty member who is subject to pre-tenure review during the next academic year.
- b. By September 1, the faculty member who is subject to pre-tenure review shall deliver to the department chair/director a current curriculum vitae, copies of the numerical summary reports of the Student Perception of Instructional Effectiveness and any other documentation specified in the college or departmental promotion and tenure written procedures. (Faculty teaching in interdisciplinary programs or institutes shall provide two identical copies of all documentation to his/her home

department chair). For purposes of Appendix E, department chair shall be synonymous with an academic school director or institute director.

- c. The department chair/director will review the submitted pre-tenure documentation for completeness and required format. (For faculty teaching in interdisciplinary programs or institutes, the home department chair will, after verification, forward one copy of the submitted documentation to the secondary department chair/director). After verification, the chair shall make available for examination a copy of the curriculum vitae, copies of the numerical summary reports of the Student Perception of Instructional Effectiveness, and any other required documentation for each pre-tenure faculty member being evaluated. The documents to be examined will be under the supervision of the dean who shall designate a secure location where they are available for review by the tenured faculty members of the department of the tenure-track faculty member. (For faculty teaching in interdisciplinary programs/institutes, the documents will also be available to tenured faculty in the secondary department.)
- d. Each tenured faculty member shall complete the Pre-Tenure Evaluation Form (Figure 2.1), in which the tenure-track faculty member's performance is ranked as "acceptable", "marginal", or "unacceptable" for each of the following criteria, appropriate to one's assigned duties: excellence in effective classroom teaching, excellence in scholarly or creative achievement and excellence in contributions to the institution (department, college, and university) and to the profession. The criteria for evaluating a faculty member under this section shall be the same as the department and college use to evaluate faculty for tenure. Written comments may be included. (For faculty teaching in interdisciplinary programs or institutes, the tenured faculty members in the secondary department shall complete the departmental Pre-Tenure Evaluation Form along with the tenured faculty members in the home department. Completed Pre-Tenure Evaluation Forms shall be returned to the home department chair.) Department chairs/directors shall not participate as peer reviewers.

- e. Tenured faculty members may meet together to discuss a candidate's pre-tenure review.
- f. Tenured faculty members shall submit their completed copies of the Pre-Tenure Evaluation Form to the department chair/director.
- g. The department chair/director shall prepare a compilation of the Pre-Tenure Evaluation Forms and, verbatim, all comments submitted by tenured faculty members, and include both as components of the tenure-track faculty member's annual faculty performance evaluation. (For faculty teaching in interdisciplinary programs or institutes these documents shall be reviewed and approved by the secondary department chair/director prior to being submitted to the dean.) The department chair/director shall submit the completed Pre-Tenure Evaluation Forms to the dean. The tenure-track faculty member shall in no case be allowed to review individual Pre-Tenure Evaluation Forms submitted by tenured faculty members in the review of that tenure-track faculty member.
- h. The dean shall hold in confidence all completed copies of the Pre-Tenure Evaluation Form submitted by faculty.
- i. The tenure-track faculty member will meet with the chair, together or separately, with the dean. (For faculty teaching in interdisciplinary programs or institutes, the faculty member will also meet with the department chair/director of the secondary department.)
- j. The combined reporting of the reviewers' scores will be given to the faculty member being reviewed.

Figure 2.1 PRE-TENURE EVALUATION FORM*

This form is to be completed only by tenured members of the tenure-track faculty member's department.

Department:

Name of tenure-track faculty member (please type):

Name and title of evaluator (please type):

Section I: Ranking. Rank the above-named tenure-track faculty member as “acceptable”, “marginal”, or “unacceptable” for each of the criteria listed.

Excellence in:	Acceptable	Marginal	Unacceptable
Effective Classroom Teaching			
Scholarly or Creative Achievement			
Contributions to the Institution and Profession			

*A tenure-track faculty member who has been assigned non-teaching, semi-teaching, or administrative duties will be evaluated and rated appropriate to assigned duties

Section II: Comments. Please add any comments that may be of assistance to the above-named tenure-track faculty member in enhancing his or her performance.

_____ Evaluator's Signature		_____ Date Signed
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E.4 POST-TENURE REVIEW

Performance evaluation of a tenured faculty member provides a positive framework to improve performance by the faculty member. Performance evaluation of a tenured faculty member also provides accountability to the society that the university serves. All tenured faculty members, regardless of rank, shall have their performance evaluated every three years. The faculty member's first triennial review cycle begins the fall semester that tenure takes effect. The evaluation shall be limited to the three years of service since the faculty member's last evaluation. All proceedings of the evaluation process are subject to the Confidentiality Clause.

Confidentiality Clause: Confidentiality is an integral part of the performance evaluation of a tenured faculty member process. Any individual participating in the performance evaluation of a tenured faculty member process shall hold all deliberations, votes, recommendations, or any other information in strictest confidence, subject only to the appeals process as outlined in the faculty handbook or subpoena.

The peer review of a tenured faculty member shall be one of three components of the triennial faculty performance evaluation and shall be administered in accordance with the procedures in E.4.2. This peer review shall be based on tenured faculty responses to the Peer Review Survey Form (Figure 2.2). The department chair/director and dean will prepare separate evaluations as the other two components of the triennial faculty performance evaluation.

The survey form shall measure the faculty member's performance that supports the missions of the department, college, and university. It must be reviewed and may be revised, as necessary, by the tenured faculty members of the department every five years to reflect the changing missions of the department, college, and university and must be approved by the department chair/director and the dean.

E.4.1 CRITERIA FOR EVALUATION OF A TENURED FACULTY MEMBER

Each college and/or department shall determine the measures for excellence in effective classroom teaching, excellence in scholarly or creative achievement, excellence in contributions to the institution (department, college, and university) and to the profession contained on the Peer Review Compilation Form. The criteria of each college shall reflect the engagement of students in transformative learning, to include, as appropriate, areas such as discipline knowl-

edge; leadership; research, scholarly, and creative activities; service learning and civic engagement activities; global and cultural competencies; and health and wellness. Such measures must be ratified in secret balloting by a simple majority of the full-time tenured/tenure-track college and/or department faculty electing to cast a ballot and must be approved by the dean. In accordance with the university's mission, excellence in effective classroom teaching must comprise at least 50% of this evaluation. A minimum of 10% of the evaluation must be assigned to excellence in scholarly or creative achievement and 10% to excellence in contributions to the institution (department, college, and university) and the profession unless the faculty member also has non-teaching, semi-administrative or administrative duties. The dean shall assign the measures for a faculty member who is assigned non-teaching, semi-administrative, or administrative duties in proportion to their assigned duties. The measures may be amended over time, but no more frequently than once in five years, to reflect changes in the missions of the department, college, or university.

E.4.2 PROCEDURES FOR PEER REVIEW OF A TENURED FACULTY MEMBER

- a. By May 1 of each year the college dean shall notify each college faculty member who is subject to performance evaluation of a tenured faculty member during the next academic year.
- b. By 5:00 P.M. local time on September 1, the faculty member who is subject to performance evaluation of a tenured faculty member shall deliver to the department chair/director a detailed, updated curriculum vitae, copies of all numerical summary reports on Student Perceptions of Instructional Effectiveness since the last evaluation, and any additional documentation that may be required by the department and/or college. Said documentation shall reflect, and be limited to, the previous three years of service since the last evaluation. The department chair/director will review the submitted post-tenure documentation for completeness and required format. [Faculty teaching in interdisciplinary programs or institutes shall provide two identical copies of all documentation to the home department chair. After verifying the submitted materials are complete and in the required format, the home department chair will forward one copy of the documentation to the secondary department chair/director.) Failure to submit this information is admission of a critical deficiency (Section E.4.3 (a).]

- c. The department chair/director shall distribute to each tenured faculty member a Peer Review Survey Form (figure E. 2.2). (For faculty teaching in interdisciplinary programs or institutes, the tenured faculty in the secondary department shall also receive a Peer Review Survey Form.) The department chair/director shall make available for examination a copy of the curriculum vitae, copies of the numerical summary reports of Student Perception of Instructional Effectiveness, and any other required documentation for each tenured faculty member being evaluated. These documents to be examined will be under the control of the dean who shall designate a secure location where the documents are available for review by the tenured faculty members. Faculty members shall not evaluate themselves. The department chair/director does not participate as a peer reviewer. In the event the total number of tenured members, excluding the department chair/director is fewer than three (3), then additional appointments will be made by the department chair/director and tenured members through the selection of tenured faculty from other departments in the college, with approval of the dean.
- d. Tenured faculty members shall complete and sign a Peer Review Form (Figure E 2.2) for each tenured faculty member being evaluated and return the form to the department chair/director. (For faculty teaching in interdisciplinary programs or institutes, tenured faculty members from the secondary department shall also complete and sign a Peer Review Form for each tenured faculty member in the secondary department.) If the department chair/director is the tenured faculty member being evaluated, his/her surveys shall be completed and returned to the dean, and the dean shall complete the Peer Review Compilation Form (E 2.3) and the Peer Evaluation Report (Figure E 2.4). The tenured faculty member shall be evaluated on excellence in effective classroom teaching, excellence in scholarly or creative achievement, excellence in contributions to the institution (department, college and university) and to the profession and shall be ranked as acceptable, marginal, or unacceptable.
- e. The department chair/director shall compile the results of the Peer Review Survey Form (Figure 2.2) onto the Peer Review Compilation Form (Figure E 2.3).

- f. The department chair/director shall complete the Peer Evaluation Report (Figure 2.4) for each tenured faculty member who is being evaluated. Each tenured faculty member must sign and date page two of the Peer Evaluation Report(s). The department chair/director shall submit the Peer Review Survey Forms (Figure 2.2), the Compilation Form (Figure 2.3), and page two of the Peer Evaluation Report (Figure 2.4) to the dean, who will hold them in confidence. The department chair/director shall submit page one of the Peer Evaluation Report as one part of the evaluated faculty member's triennial faculty performance evaluation (Section 2.3.3) along with the chair's personal evaluation of the faculty member. (For faculty teaching in interdisciplinary programs or institutes, the triennial faculty performance evaluation will include a personal evaluation of the faculty member from the secondary department chair/director as well.)
- g. Faculty will meet with the chair, together or separately, with the dean to discuss the results of the evaluation. (For faculty teaching in interdisciplinary programs or institutes, the faculty member will also meet with the department chair/director of the secondary department.) Based on the complete triennial performance evaluation, including page one of the Peer Evaluation Report, the faculty member, dean, and chair shall identify the faculty member's strengths, weaknesses, and possible deficiencies. If any weaknesses or deficiencies are identified, the three shall develop personal improvement strategies to be implemented by the faculty member during the next three academic years. A summary of these strategies and page one of the Peer Evaluation Report shall be signed by the dean, the chair, and the faculty member. (For faculty teaching in interdisciplinary programs or institutes, the secondary department chair/director shall also sign the Peer Evaluation Report.)
- h. The dean shall forward the entire Peer Evaluation Report, the Faculty Performance Evaluation, and the personal improvement strategies to the provost/vice president for academic affairs.

E.4.3 CONSEQUENCES OF PEER REVIEW OF A TENURED FACULTY MEMBER

If the evaluation process reveals deficiencies, efforts shall be made to remediate them within the spirit of professionalism that tenure implies.

- a. For the purposes of this section, a deficiency is defined as an average rating of less than 2.0 in any one area of effective classroom teaching, scholarly or creative achievement or contribution to the institution or profession (column C on Figure 2.3). A critical deficiency is defined as a total point score (the total of column E on Figure 2.3) of less than 2.0 on the Compilation Form, or a total of at least two deficiencies, as noted above, or failure to submit the information described in Section E.4.1b.
- b. If a faculty member receives a critical deficiency, the dean and department chair/director shall recommend to the provost/vice president for academic affairs that the faculty member be placed on annual performance appraisal of a tenured faculty member consisting of annual peer review and on annual faculty performance evaluation. If the provost/vice president for academic affairs supports this recommendation, the faculty member shall be subject to annual peer review and to annual faculty performance evaluation.
- c. If a faculty member receives a deficiency, the dean and department chair/director may recommend to the provost/vice president for academic affairs that the faculty member be placed on annual performance appraisal of a tenured faculty member consisting of annual peer review and an annual faculty performance evaluation. If the provost/vice president for academic affairs supports this recommendation, the faculty member shall be subject to annual peer review and to annual faculty performance evaluation.
- d. When the faculty member has improved to a level of no deficiencies, the faculty member shall return to triennial peer reviews and faculty performance evaluations.
- e. If the faculty member receives a critical deficiency each year for two consecutive years after being placed on annual peer review, then the faculty member shall be recommended for termination of employment from the university by the dean and chair.
- f. If the faculty member receives a deficiency each year for three consecutive years

after being placed on annual peer review, then the faculty member may be recommended for termination of employment from the university by the dean and chair.

- g. If the provost/vice president for academic affairs and the president of the university support the recommendation for termination, the faculty member's employment with the university shall be subject to termination under Section 2.5.1.d and 2.5.2.e of the faculty handbook.
- h. A tenured faculty member who receives notice of pending dismissal may request and shall be afforded a hearing before the Appellate Committee on Dismissal of Tenured Faculty Members (Section 2.5.6). Provisions and guidelines for this procedure are listed in 2.5.6 and 2.5.7 of the Faculty Handbook.

Figure 2.2

University of Central Oklahoma

Peer Review Survey Form

Every department shall establish measures for evaluation of tenured faculty members. Those measures shall be printed on this form and shall address performance in each of three* criteria listed below.

A copy of this form shall be completed by each tenured faculty member in the department, except the faculty member being appraised.

Department/School _____

College of _____

Tenured faculty member _____

Date of tenure _____

Date of last revision to this form _____

* A tenure-track faculty member who has been assigned non-teaching, semi-administrative, or administrative duties will be evaluated and rated appropriate to assigned duties. The number of measures under each criterion shall be determined by the department /school and college.

Evaluate the faculty member being appraised in each area as Unacceptable, Marginal, or Acceptable. Record each evaluation as a rating according to the following scale:

Unacceptable – 1 Marginal - 2 Acceptable - 3

Rating

_____ Criterion I: Excellence in Effective Classroom Teaching

1. _____

2. _____

3. _____

_____ Criterion II: Excellence in Scholarly or Creative Achievement

1. _____

2. _____

3. _____

_____ Criterion III: Excellence in Contribution to the Institution and Profession

1. _____

2. _____

3. _____

_____ Other College/Department/School Criteria:

1. _____

2. _____

Any specific comments should be written on the back of this form.

Printed Name and Rank of Appraiser _____

Signature of Appraiser

Date

Figure 2.3 University of Central Oklahoma Peer Review Compilation Form

This form is to be completed by the department chair/director (or the dean if the department chair/director is being evaluated).

Department/School _____ College of _____

Tenured faculty member _____

Department Chair/Director _____

Date _____

A	B										C	D	E	
Category: Excellence in	Ratings by Peers										Average Rating of Peers-See #4	Weight -See #3	Points -See #2	
Effective Classroom Teaching														
Scholarly or Creative Achievement														
Contribution to Institution and Profession														
Total Score												1.0		

1. Multiply the Average Rating of Peers by the Weight to obtain Points ($C \times D = E$)
2. Weights shall be determined by colleges and departments in accordance with their mission and must total 1.0. In accordance with the university's mission, teaching must be weighted no less than .50.
3. All numbers should be exact to two decimal places.

Compilation by Chair/Director/Dean: _____

Name of Compiler

Example of a completed Figure E 2.3a
University of Central Oklahoma
Peer Review Compilation Form

This form is to be completed by the department chair/director (or the dean if the department chair/director is being evaluated).

Department/School _____ College of _____

Tenured faculty member _____

Department Chair/Director _____

Date _____

A	B										C	D	E
Category: Excellence in	Ratings by Peers										Average Rating of Peers-See #4	Weight -See #3	Points -See #2
Effective Classroom Teaching	1	3	2	3	3	2	2	1			2.13	.6	1.28
Scholarly or Creative Achievement	3	<u>3</u>	3	<u>3</u>	3	<u>3</u>	3	<u>3</u>			3.00	.2	.6
Contribution to Institution and Profession	1	1	1	2	2	1	2	2			1.50	.2	.3
Total Score											1.0	2.18	

1. Multiply the Average Rating of Peers by the Weight to obtain Points ($C \times D = E$)
2. Weights shall be determined by colleges and departments in accordance with their mission and must total 1.0. In accordance with the university's mission, teaching must be weighted no less than .50.
3. All numbers should be exact to two decimal places.

Note: This faculty member has one deficiency, but not a critical deficiency.

Compilation by Chair/Director/Dean:

Name of Compiler

Figure 2.4
University of Central Oklahoma
Peer Evaluation Report

Page One

This form is to be completed by the department chair/director (or the dean if the department chair/director is being evaluated).

Department/School _____ College of _____

Evaluation of tenured faculty member _____

Date _____

Report:

Signatures:

Department Chair/Director	_____	Date
Dean	_____	Date
Evaluated Faculty Member	_____	Date

University of Central Oklahoma Peer Evaluation Report

Page Two

This form is to be completed by the department chair/sdirector (or the dean if the department chair/director is being appraised).

Department/School _____ College of _____

Tenured faculty member _____

Date _____

Report:

Tenured Faculty Members Participating in the Evaluation	Date	I agree with the report	I have read the report

E.5 TENURE REVIEW

E.5.1 TENURE ELIGIBILITY

To be a candidate for tenure, a full-time faculty member must meet the following minimum criteria:

- a. hold a rank of assistant professor, associate professor, or professor;
- b. have a tenure track appointment;
- c. have successfully served the probationary period as defined in Section E.2.3.; The tenure process generally occurs in the fall of the fifth year of service;
- d. hold an earned doctorate or other terminal degree from a regionally accredited or internationally recognized institution;
- e. have earned a total of 60 graduate semester credit hours in the teaching field as part of an approved program at a regionally accredited or internationally recognized institution. The graduate hour determination will be made by the department chair/director and the dean no later than April 15th prior to the tenure review;
- f. for appointments in the College of Fine Arts and Design, hold a minimum sixty semester hour Master of Fine Arts (MFA) degree which is recognized as a terminal degree within the College of Fine Arts and Design for the purposes of hiring, promotion, tenure, and compensation for full-time faculty.

If a tenure-track faculty member is ineligible for tenure, he/she may sign a letter stating he/she does not wish to be considered for pre-tenure or tenure. The faculty member will be responsible for notifying his/her department chair/director when he/she becomes eligible for pre-tenure or tenure consideration. Alternately, a tenure-track faculty member may request, in writing, reassignment to a non-tenure track position. The dean, after consultation with the department chair/director, may reassign a faculty member who is ineligible for tenure to a non-tenure-track position.

E.5.2 PROCEDURES FOR ADMINISTERING THE TENURE PROCESS

The following procedures shall be used when reviewing and voting to recommend granting or denying tenure. All proceedings are subject to the Confidentiality Clause.

Confidentiality Clause: Confidentiality is an integral part of the tenure process. Any in-

dividual participating in the tenure process shall hold all deliberations, votes, recommendations, or any other information in strictest confidence, subject only to the appeals process as outlined in the faculty handbook or subpoena.

E.5.2.1 CRITERIA FOR TENURE EVALUATION

- a. Each college must determine written, quantifiable, objective measures, consistent with the missions of the college and university, to apply in the tenure process. The criteria of each college shall reflect the engagement of students in transformative learning, to include, as appropriate, areas such as discipline knowledge; leadership; research, scholarly, and creative activities; service learning and civic engagement activities; global and cultural competencies; and health and wellness. Such measures must be ratified in secret balloting by a simple majority of the voting full-time tenured/tenure-track college faculty and must be approved by the dean. Measures may be changed over time, but no more frequently than once in five years, to reflect changes in the missions of the department, college, or university. Changes must be ratified in secret balloting by a simple majority of the voting full-time tenured/tenure-track college faculty and must be approved by the dean. In accordance with the university's mission, excellence in effective classroom teaching must comprise at least 50% of this evaluation. A minimum of 10% of the evaluation must be assigned to excellence in scholarly or creative achievement and 10% to excellence in contributions to the institution (department, college, and university) and the profession unless the faculty member also has non-teaching, semi-administrative or administrative duties.
- b. A department may determine additional written, measurable, objective measures consistent with the missions of the department, college, and university, to apply in the tenure process. Such measures must be ratified in secret balloting by a simple majority of the voting full-time tenured/tenure-track faculty in the department and must be approved by the department chair/director and dean. Measures may be changed over time, but no more frequently than once in five years, to reflect changes in the missions of the department, college, or university. Changes must be

ratified in secret balloting by a simple majority of the voting full-time faculty members of the department and must be approved by the department chair/director and dean.

- c. Written measures, determined according to Sec. E.6.1.c, d, must be stated on the Tenure Evaluation Worksheet/Ballot. Each college may modify the Worksheet/Ballot (Figure E2.5) to include its own measures, and departments may add additional measures, if approved by the provost/vice president for academic affairs. Written tenure procedures and criteria must be provided to all incoming faculty members at the time they are hired.

E.5.2.2 TIMELINE FOR TENURE EVALUATION

- a. By April 15, the provost/vice president for academic affairs shall submit to the dean of each undergraduate college a list of the names of faculty members from that college who will be eligible for tenure review during the next academic year. The college dean (henceforth referred to as “dean”) shall confirm by submitting the list of tenure candidates to the office of the provost/vice president for academic affairs.
- b. By May 1, the dean shall notify tenure candidates of their status as candidates and of the deadline for the submission of their dossiers to the dean’s office.
- c. By 5:00 P.M. local time on September 1, the candidate shall deliver to the department chair/director a dossier that contains evidence of excellence in effective classroom teaching, excellence in scholarly or creative achievement, and excellence in contributions to the institution (department, college, and university) and to the profession. (Faculty teaching in interdisciplinary programs or institutes shall provide two identical copies of all documentation to the home department chair.) The department chair/director will review the submitted tenure dossier and other documentation for completeness and required format. (The department chair, after verifying the submitted materials are complete and in the required format will forward one copy of the documentation to the secondary department chair/director for faculty teaching in interdisciplinary programs or institutes.) After verification, the

chair/director shall deliver the tenure dossier and other documentation to the dean.

- d. Each year, by the end of September, each department in the college shall elect a member of the department to serve a one-year term on the College Tenure Review Committee. This person (1) must be tenured, (2) shall not be the chair of the department, (3) shall not be the assistant or associate dean, and (4) shall not serve on the College Promotion Committee. (When a faculty member who teaches in an interdisciplinary program or institute is being evaluated, a tenured faculty member in the secondary department shall be included on the College Tenure Review Committee if available) The elected faculty member cannot serve more than two consecutive terms, unless there are fewer than three (3) tenured faculty members in the department. If a department has no one qualified to serve on the College Tenure Review Committee, the chair, in consultation with the department, recommends to the dean another tenured faculty member from the college, other than a department chair/director, to serve. Alternatively, a previously tenured emeritus faculty member may be asked to serve on this committee. The committee members, through the chair of the committee, shall make the request for this appointment and make the selection.
- e. After consultation with the appropriate department chair/director, the dean shall convene a meeting of the Department Tenure Review Committee. The Department Tenure Review Committee shall consist of all tenured faculty members of the department. (When a faculty member who teaches in an interdisciplinary program or institute is being evaluated, all tenured faculty members in the secondary department shall be included on the Department Tenure Review Committee.) This committee should have at least five (5) members. The department chair/director may not serve on this committee.

In the event that the number of tenured faculty members in a division or department is fewer than five (5), the actual tenured faculty members in that department, plus additional tenured faculty members appointed by the chief academic officer or his or her designee to form a group of at least five (5) tenured faculty members shall act as an ad hoc committee for tenure recommendation. A simple majority rule shall prevail (Section 3.4.e1, RUSO).

- f. Each Department Tenure Review Committee shall elect a chair at the meeting convened by the dean. The dean and the department chair/director shall review college and university tenure policies, and the dean shall provide to the Tenure Review Committee Chair, the Tenure Evaluation Worksheet/Ballots (Figure E.2.5), to be signed by each tenured committee member. If a committee member refuses to sign the Worksheet/Ballots, the committee chair shall note this refusal on the Worksheet/Ballots. The dean shall maintain control of the dossiers throughout the process and shall designate a secure location where the dossiers are available for review by the committee. The dean, associate dean, and the department chair/director shall not be present during subsequent meetings of the committee. All activities of this committee shall be subject to the Confidentiality Clause as stated in the beginning of Section E.6.
- g. The chair of the Department Tenure Review Committee shall convene at least one subsequent meeting sufficient to conduct the reviews of all tenure candidates.

The faculty member's contributions to the mission of the university shall be reviewed and evaluated by the tenured members of his or her division or department including his or her division and/or department chair if applicable, and a poll by secret ballot will be taken to determine whether a recommendation for the granting of tenure will be made. This review may be conducted in a manner that allows for input from non-tenured colleagues, students, alumni and administrative information from the department chair (Section 3.4.e1, RUSO).

- h. With at least five (5) working days of written notice, the chair of the Department Tenure Review Committee shall reconvene the review committee for a final meeting to hold the tenure vote. The Department Tenure Review Committee shall vote by secret ballot using the Tenure Evaluation Worksheet/Ballots that were previously signed by the committee members. A member of the committee who will be absent from the final meeting shall file a Worksheet/Ballot with the chair of the Department Tenure Review Committee prior to the final meeting. All Worksheet/Ballots shall be counted in the presence of the committee. By a simple majority (abstentions do not count as either a vote for or against tenure) of those voting, the committee shall recommend to grant or to deny tenure. A tie vote shall result in a recommendation to deny tenure. If the vote results in a recommendation not to

approve tenure, the committee shall also prepare a written list of improvements in performance that may enhance the candidate's chances for a subsequent positive tenure review. The chair of the Department Tenure Review Committee shall document the results of the vote (and include the list of improvements for any candidate not recommended for tenure) to the department chair/director in a written statement signed by all members of the committee. The Worksheet/Ballots shall be attached to this statement. A separate report shall be submitted for each faculty member undergoing tenure review.

- i. *The division or department head shall report the results of the vote, separate from his or her recommendation to the dean who will forward that recommendation as well as the dean's recommendation to the chief academic officer (Section 3.4.e1, RUSO).*

The Department Tenure Review Committee statement and Worksheet/Ballots forms shall be reviewed by the department chair who will write his or her recommendation to the dean. All these materials will then be submitted to the dean, who will forward them along with the dean's recommendation to the provost/vice president for academic affairs. (For faculty teaching in interdisciplinary programs/institutes, the secondary department chair/director will also write his/her recommendation that will be submitted to the dean.)

- j. After the Department Tenure Review Committee and the department chair/director have made their recommendations, the dean shall call a meeting of the College Tenure Review Committee. At this meeting, the College Tenure Review Committee shall elect a chair, the dean shall review college and university tenure policies and the dean shall provide to the Tenure Review Committee Chair, the Tenure Evaluation Worksheet/Ballots (Figure E2.5) to be signed by each tenured committee member. The dean shall make available to all committee members the dossiers submitted by the candidates but shall not reveal the final results of the departmental review to the College Tenure Review Committee. The chair of the College Tenure Review Committee shall convene at least one subsequent meeting sufficient to conduct the reviews of all tenure candidates. The dean, assistant dean, or associate dean shall not be present during any of these subsequent meetings of the

College Tenure Review Committee. All faculty members eligible for tenure shall be reviewed.

- k. With at least five (5) working days of written notice, the chair of the College Tenure Review Committee shall reconvene the review committee for a final meeting to hold the tenure vote. Should a member of the committee be unable to attend the voting meeting, the member may submit an absentee Worksheet/Ballot to the chair of the College Tenure Review Committee before the start of the meeting. Such a Worksheet/Ballot will be submitted to the chair of the committee in a sealed envelope, and counted with the other Worksheet/Ballots at the meeting. For each tenure candidate, the College Tenure Review Committee, by a simple majority of those voting (abstentions do not count as either a vote for or against tenure), shall make a recommendation to grant or to deny tenure. A tie vote shall result in a recommendation to deny tenure. If the vote results in a recommendation not to approve tenure, the college committee shall prepare a written list of improvements in performance that may enhance the candidate's chances for a subsequent positive tenure review. A separate committee report shall be submitted for each faculty member undergoing tenure review. If required by the provost/vice-president for academic affairs, the committee shall provide a ranking of all tenure candidates who are recommended for tenure. The recommendations and the ranking shall be based on the written measures of the college (and the department, if applicable) and on discussion among the committee members. The committee chair shall forward the recommendations and the ranking to the dean. All activities of this committee are subject to the Confidentiality Clause stated in the beginning of Section E.6.
- l. After receiving the recommendations from the department chair/director and from the department and College Committees, the dean shall write a personal recommendation for each candidate, to grant or to deny tenure. The dean may consult with the committees regarding the recommendations without violating the Confidentiality Clause.

- m. The dean shall complete the Recommendation for Promotion, Tenure-Track Conversion, Tenure, Continuance or Non-Renewal form. The dean shall notify each candidate in writing of the recommendations made by both tenure review committees and by the department chair/director and the dean. (For faculty teaching in interdisciplinary programs or institutes, the recommendation of the secondary department chair/director will be included in the dean's notification to the candidate.) Upon request by the tenure candidate, the dean shall inform the candidate of the numerical results of the department and college votes. The candidate shall review all recommendations in the presence of the dean and shall be asked to sign the Recommendation for Promotion, Tenure-Track Conversion, Tenure, Continuance or Non-Renewal form as verification of having read the recommendations. If the candidate refuses to sign the form, the dean shall note this refusal on the recommendation form. The dean's recommendation on tenure shall be forwarded by the dean to the provost/vice president for academic affairs along with the above form. The dean shall also forward the recommendations of the department chair/director, the Department Tenure Review Committee, and the College Tenure Review Committee. The university shall retain all materials for a period of seven years beyond the faculty member's association with the University, except for the dossier, which shall be returned to the candidate 20 days after notification of tenure by the regents, or after the Grievance Board filing deadline has elapsed. (see E.5.2.2.r) Upon request by the tenure candidate, the dean shall inform the candidate of the numerical results of the department and college votes.
- n. If the dean's recommendation is not for tenure, a meeting of the department chair/director, the dean, and the candidate shall be held by the end of the third week of the spring semester to discuss performance improvements that may be made. (For faculty teaching in interdisciplinary programs or institutes, the secondary department chair/director may be present at the meeting upon the dean's request.) Upon written request by the candidate, the department chair/director and dean must prepare writ-

ten reasons for denial of a recommendation for tenure, with a written list of improvements in performance that may enhance the candidate's chances for a subsequent positive tenure review.

- o. The provost/vice president for academic affairs shall review all recommendations and, for each candidate, shall recommend to the president either to grant or to deny tenure. By the end of the seventh week of the spring semester, the provost/vice president for academic affairs shall report each recommendation by certified mail that is to be delivered to the respective candidate, with a copy to the dean and chair/director.
- p. A candidate who believes there has been a procedural or substantive error during the Tenure Process may appeal the recommendation to the Grievance Board as detailed in Appendix G. This grievance (G.5) must be made no later than twenty (20) working days after the certified receipt of the written notification from the provost/vice president for academic affairs.
- q. After reviewing all recommendations, the president shall submit his/her recommendation to the Board of Regents. By the last day of classes of the spring semester, the president shall inform each tenure candidate in writing whether or not s(he) was approved by the Board for tenure.
- r. *A recommendation for tenure may also come directly from the chief academic officer or from the president of the university without prior recommendation from the division or department. (Section 3.4.e1, RUSO).
The results of all balloting, will be confidential and will not be included in the faculty member's personnel file (Section 3.4.e1, RUSO).*
- s. If a faculty member is granted tenure, the last annual review will occur during the fall semester when tenure becomes effective. This review will be used to evaluate the previous academic year and set goals for the first three years of tenure.

Figure E 2.5 Tenure Evaluation Worksheet and Ballot

Department/School _____ Date _____

Candidate: _____

Please declare whether the candidate has met or not met each of the enumerated criteria.*

Criterion I

Excellence in Effective Classroom Teaching:	Met	Not Met
1.	<input type="checkbox"/>	<input type="checkbox"/>
2.	<input type="checkbox"/>	<input type="checkbox"/>
3.	<input type="checkbox"/>	<input type="checkbox"/>

Criterion II

Excellence in Scholarly or Creative Achievement:	Met	Not Met
1.	<input type="checkbox"/>	<input type="checkbox"/>
2.	<input type="checkbox"/>	<input type="checkbox"/>
3.	<input type="checkbox"/>	<input type="checkbox"/>

Criterion III

Excellence in Contribution to the Institution and Profession:	Met	Not Met
1.	<input type="checkbox"/>	<input type="checkbox"/>
2.	<input type="checkbox"/>	<input type="checkbox"/>
3.	<input type="checkbox"/>	<input type="checkbox"/>

Other College/Department/School Criteria:	Met	Not Met
1.	<input type="checkbox"/>	<input type="checkbox"/>
2.	<input type="checkbox"/>	<input type="checkbox"/>

*The number and type of measures in each of the above four criteria shall be determined by the college and department/school. In accordance with the university's mission, excellence in classroom teaching must comprise at least 50% of this evaluation.

Ballot

Based upon this analysis, I recommend that this candidate:

be approved for tenure not be approved for tenure

Comments:

Signatures of all voting members of the department/school are contained on the reverse side as verification of the authenticity of this ballot.

E.6 RETENTION WITHOUT TENURE

If a tenure-track full-time faculty member is retained without tenure, the same procedures for review and voting as outlined in Section E.5 will apply for each subsequent year until the faculty member is either granted tenure or is not retained.

E.7 PROMOTION

Authority to grant academic rank or promotion in academic rank is delegated to the university president. Determination of merit and granting promotion in rank shall be in accordance with the promotion policies and procedures of the university as well as the minimum criteria contained in this policy (Section 3.3a, RUSO).

E.7.1 ACADEMIC RANKS

The principal academic ranks of the university shall be Professor, Associate Professor, Assistant Professor, and Instructor or Lecturer (Section 3.3b, RUSO).

E.7.2 PROMOTION CRITERIA

E.7.2.1 ASSISTANT PROFESSOR

A faculty member shall be assigned the rank of assistant professor at the beginning of the first regular semester following receipt of an appropriate earned doctorate or other terminal degree from a regionally accredited or internationally recognized institution. The specific credential requisite for the rank of assistant professor in the faculty member's department shall be specified on the Academic Credentials Summary (Academic Affairs Form #94-1) at the time of the faculty member's hiring and approved by the provost/vice president for academic affairs.

E.7.2.2 ASSOCIATE PROFESSOR

A candidate for promotion to the rank of associate professor must meet the following minimum criteria:

- a. *an earned doctorate degree (or other terminal degree) awarded by a regionally accredited institution (e.g., Higher Learning Commission or Southern Association of Colleges and Schools) or an equivalent condition for a degree received in another country (Section 3.3b, RUSO),*
- b. have earned a total of 60 graduate semester hours in the teaching field as part of an approved program from a regionally accredited or internationally recognized institution,
- c. have been employed by the University of Central Oklahoma for five (5) or more

academic years (summers excluded). The earliest the promotion process may begin is in the fall of the fifth year of service,

- d. Faculty hired prior to January 2011 must have held the rank of assistant professor for at least four (4) academic years at the University of Central Oklahoma. Faculty hired after January 2011 must have held the rank of assistant professor for at least five (5) academic years at the University of Central Oklahoma.
- e. either hold tenure or be eligible for tenure review.

E.7.2.3 PROFESSOR

A candidate for promotion to the rank of professor must meet the following minimum criteria:

- a. *an earned doctorate degree (or other terminal degree) awarded by a regionally accredited institution (e.g., Higher Learning Commission or Southern Association of Colleges and Schools) or an equivalent condition for a degree received in another country.* (Section 3.3b, RUSO).
- b. Faculty hired prior to January 2011 must have held the rank of associate professor for at least four (4) academic years (summers excluded) at the University of Central Oklahoma. The earliest this promotion process can begin is during the fall of their fourth year of service at the rank of associate professor and at the discretion of the individual eligible for promotion. Faculty hired after January 2011 must have held the rank of associate professor for at least five (5) academic years at the University of Central Oklahoma. The earliest the promotion process can begin is during the fall of their fifth year of service at the rank of associate professor and at the discretion of the individual eligible for promotion.
- c. hold tenure.

E.7.3 LIMITATIONS IN RANK

There shall be no limitations in rank at the associate professor or professor level.

E.7.4 REDUCTION IN RANK

No person presently employed shall suffer reduction in rank as a result of the operation of these policies.

E.8 PROCEDURES FOR ADMINISTERING THE PROMOTION PROCESS

The following procedures shall be used when reviewing and voting to recommend to grant or to deny promotion to the ranks of associate professor and professor. All proceedings are subject to the Confidentiality Clause.

Confidentiality Clause: Confidentiality is an integral part of the promotion process. Any individual participating in the promotion process shall hold all deliberations, votes, recommendations, or any other information in strictest confidence, subject only to the appeals process as outlined in the faculty handbook or subpoena.

E.8.1 CRITERIA FOR PROMOTION EVALUATION

- a. Each college must determine written quantifiable, objective measures, consistent with the missions of the college and university, to apply to the promotion process. The criteria of each college shall reflect the engagement of students in transformative learning, to include, as appropriate, areas such as discipline knowledge; leadership; research, scholarly, and creative activities; service learning and civic engagement activities; global and cultural competencies; and health and wellness. Such measures must be ratified in secret balloting by a simple majority of the voting full-time college tenured/tenure track faculty and must be approved by the dean. Measures may be changed over time, but no more frequently than once in five years, to reflect changes in the missions of the department, college, or university. The changes must be ratified in secret balloting by a simple majority of the voting full-time tenured/tenure-track college faculty and must be approved by the dean. In accordance with the university's mission, excellence in effective classroom teaching must comprise at least 50% of this evaluation. A minimum of 10% of the evaluation must be assigned to excellence in scholarly or creative achievement and 10% to excellence in contributions to the institution (department, college, and university) and the profession unless the faculty member also has non-teaching, semi-administrative or administrative duties.
- b. A department may determine additional written, quantifiable objective measures, consistent with the missions of the department, college, and university, to apply in the promotion process. Such measures must be ratified in secret balloting by a simple majority of the voting full-time tenured/tenure-track faculty in the department and must be approved by the department chair/director and the dean. Measures may be changed over

time, but no more frequently than once in five years, to reflect changes in the missions of the department, college, or university. Changes must be ratified in secret balloting by a simple majority of the voting full-time tenured/tenure-track faculty members of the department and must be approved by the department chair/director and the dean.

- c. Written measures, determined according to Sec. E.8.1.a and b, must be stated on the Promotion Worksheet/Ballot. Each college may modify the Worksheet/Ballot (figure E.2.6) to include its own measures, and departments may add additional measures, if approved by the provost/vice-president for academic affairs. Written promotion procedures and criteria must be provided to all incoming faculty members at the time they are hired.

E.8.2 TIMELINE FOR PROMOTION EVALUATION

- a. By April 15, the provost/vice president for academic affairs shall submit to the dean of each undergraduate college a list of names of the faculty members from that college who will be eligible for promotion review during the next academic year. The college dean (henceforth referred to as “dean”) shall confirm by submitting the list of promotion candidates, each with a proposed rank, to the office of the provost/vice president for academic affairs.
- b. By May 1, the dean shall notify promotion candidates of their status as candidates and of the deadline for the submission of their dossiers to the dean’s office. Failure by a promotion candidate to submit a dossier by the deadline terminates the review of that candidate.
- c. By September 1, the candidate shall deliver to the department chair/director a dossier that contains evidence of excellence in effective classroom teaching, excellence in scholarly or creative achievement, and excellence in contributions to the institution (department, college, and university) and to the profession. (Faculty teaching in interdisciplinary programs or institutes shall provide two identical copies of all documentation to the home department chair.) The department chair/director will review the submitted promotion dossier and other documentation for completeness and required format. (When a faculty member who teaches in an interdisciplinary program or institute is being evaluated, the department chair will forward one copy

of the documentation to the secondary department chair/director after verifying the submitted materials are complete.) After verification the department chair/director shall deliver the promotion dossier and other documentation to the dean.

- d. Each year, by the end of September, each department in the college shall elect a member of the department to serve a one-year term on the College Promotion Review Committee. This person (1) must be tenured, (2) must hold the rank of professor, and (3) shall not be the chair of the department, an associate dean nor an assistant dean. (When a faculty member who teaches in an interdisciplinary program or institute is being evaluated, a tenured faculty member in the secondary department shall be included on the College Promotion Review Committee if available.) This elected faculty member cannot serve more than two consecutive terms. If a department has no one qualified to serve on the College Promotion Review Committee, the dean may modify the qualifications to allow a faculty member, other than the department chair/director, associate dean or assistant dean to be elected from the department. This elected faculty member cannot be considered for promotion during the current (or subsequent) academic year. A previously tenured emeritus faculty member who attained the rank of professor may also be asked to serve on this committee. The promotion committee members, through the chair of the committee, shall make the request for this appointment and make the selection.
- e. After consultation with the appropriate department chair/director, the dean shall convene a meeting of the Department Promotion Review Committee and shall ask all members of the Department Promotion Review Committee to sign each promotion Worksheet/Ballot (Figure E.2.6). If a committee member refuses to sign the Worksheet/Ballots, the committee chair shall note this refusal on the Worksheet/Ballots. The Department Promotion Review Committee shall consist of all full-time, tenured faculty members of the department with the rank of associate professor or professor. (When a faculty member who teaches in an interdisciplinary program or institute is being evaluated, all tenured faculty in the secondary department shall be included on the Department Promotion Review Committee.) This committee shall have at least (5) members. The department chair/director may not

serve on this committee. In the event the total number of non-candidate professors and associate professors in the department is fewer than five (5), then additional appointments to the committee will be made by the department chair/director and the existing committee members through the selection of qualified professors and associate professors from other departments in the college, with the approval of the dean. The department chair/director and existing committee may also select emeritus faculty members in the field and of the appropriate rank, or faculty from other colleges where appropriate, with approval from the dean. This committee shall serve as the Department Promotion Review Committee for the review of candidates for promotion to the rank of associate professor. Associate professors are not allowed to review candidates for promotion to the rank of professor. The members of the Department Promotion Review Committee who hold the rank of professor shall form a subcommittee to review candidates for promotion to the rank of professor. If there are fewer than three (3) members of this subcommittee of professors, then, according to E.8.2. e g above additional professors from other departments in the college shall be recommended to the subcommittee by the department chair/director, with the approval of the dean. Should the subcommittee turn down the recommendation of the department chair/director and dean, the chair and dean will continue to make recommendations until an acceptable addition is found. This person may also be an emeritus faculty member of appropriate rank from the department, should specific disciplinary knowledge be required. This subcommittee shall serve as the Department Promotion Review Committee for the review of candidates for promotion to the rank of professor.

- f. Each Department Promotion Review Committee shall elect a chair at the meeting convened by the dean. The dean and the department chair/director shall review college and university promotion policies, and the dean shall provide promotion ballots, developed according to Figure 2.6, to the Department Promotion Review Committee Chair. The dean shall maintain control of the dossiers throughout the process and shall designate a secure location where the dossiers are available for review by the committee. The dean, associate dean, and the department chair/director shall not be present during

subsequent meetings of the committee. All activities of this committee shall be subject to the Confidentiality Clause stated in the beginning of Section E.8.

- g. The chair of the Department Promotion Review Committee shall convene at least one subsequent meeting sufficient to conduct the reviews of all promotion candidates.
- h. With at least five (5) working days of written notice, the chair of the Department Promotion Review Committee shall reconvene the review committee for a final meeting to hold the promotion vote. The Department Promotion Review Committee shall vote by secret Worksheet/Ballot using the Worksheet/Ballots that were previously signed by the committee members. A member of the committee who will be absent from the final meeting shall file a Worksheet/Ballot with the chair of the Department Promotion Review Committee prior to the final meeting. All Worksheet/Ballots shall be counted in the presence of the committee. By a simple majority of those voting (abstentions do not count either as a vote for or against promotion), the committee shall recommend to grant or to deny promotion. A tie vote shall result in a recommendation to deny promotion. If the vote results in a recommendation to deny promotion, the committee shall also prepare a written list of improvements in performance that may enhance the candidate's chances for a subsequent positive promotion review. The chair of the Department Promotion Review Committee shall document the results of the vote (and include the list of improvements for any candidate denied the recommendation for promotion) to the department chair/director in a written statement signed by all members of the committee. The Worksheet/Ballots shall be attached to this statement.
- i. The department chair/director shall report the results of the vote, together with a personal recommendation, to the dean. The Department Promotion Review Committee statement and Worksheet/Ballots shall accompany the department chair's/director's written recommendation to the dean. (When a faculty member who teaches in an interdisciplinary program or institute is being evaluated, the department chair of the secondary department will write his/her own recommendation to the dean. The recommendation shall be added to the documents submitted to the dean.)

- j. After the Department Promotion Review Committee and the department chair/director have made their recommendations, the dean shall call a meeting of the College Promotion Review Committee. At this meeting, the College Promotion Review Committee shall elect a chair, the dean shall review college and university promotion policies, and the dean shall make available to all committee members the dossiers submitted by the candidates and shall ask all members of the College Promotion Review Committee to sign each promotion Worksheet/Ballot (Figure E.2.6). If a committee member refuses to sign the Worksheet/Ballots, the committee chair shall note this refusal on the Worksheet/Ballots. The chair shall convene at least one subsequent meeting sufficient to conduct the reviews of all promotion candidates.. The dean shall not reveal the results of the departmental review to the College Promotion Review Committee, and the dean, associate dean, and the assistant dean shall not be present during subsequent meetings of this committee.
- k. At the request of the provost/vice president of academic affairs or the dean with at least five (5) working days written notice, the chair of the College Promotion Review Committee shall reconvene the review committee for a final meeting to finalize the promotion decision. Should a member of the committee be unable to attend the voting meeting, he/she may submit an absentee Worksheet/Ballot to the chair of the College Promotion Review Committee before the start of the meeting. Such a Worksheet/Ballot will be submitted to the chair of the committee in a sealed envelope, and counted with the other Worksheet/Ballots at the meeting. For each promotion candidate, the College Promotion Review Committee, by simple majority of those voting (abstentions do not count either as a vote for or against promotion), shall recommend to grant or to deny promotion. A tie vote shall result in a recommendation to deny promotion. If the vote results in a recommendation to deny promotion, the college committee shall prepare a written list of improvements in performance that may enhance the candidate's chances for a subsequent positive promotion review. The committee shall provide a ranking of the candidates recommended for promotion to the rank of associate professor, and a sepa-

rate ranking of the candidates recommended for promotion to the rank of professor. The recommendations and the rankings shall be based on the written measures of the college (and the department, if applicable) and on discussion among the committee members. The committee chair shall forward the recommendations and the rankings to the dean. A separate committee report shall be submitted for each faculty undergoing promotion review. All activities of this committee are subject to the Confidentiality Clause stated in the beginning of Section E.8.

- l. After receiving the recommendations from the department chair/director and the statements of the department and college committees, the dean shall write a personal recommendation for each candidate, to grant or to deny promotion. The dean may consult with the committees regarding the recommendations without violating the Confidentiality Clause.
- m. The dean shall notify each candidate in writing of the recommendations made by both promotion review committees and by the department chair/director and the dean. The dean shall complete the Recommendation for Promotion, Tenure-Track Conversion, Tenure, Continuance or Non-Renewal form. The candidate shall review all recommendations in the presence of the dean and shall be asked to sign the Recommendation for Promotion, Tenure-Track Conversion, Tenure, Continuance or Non-Renewal form as verification of having read the recommendations. At the dean's request, the department chair may be present at the meeting with the candidate. (When a faculty member who teaches in an interdisciplinary program or institute is being evaluated, the dean may request the department chair of the secondary department be present for the meeting with the candidate.) If the candidate refuses to sign the form, the dean shall note this refusal on the recommendation form. The dean's recommendation on promotion shall be forwarded by the dean to the provost/vice-president for academic affairs along with the above form. The dean shall also forward the recommendations of the department chair/director, the Department Promotion Review Committee, and the College Promotion Review Committee. The university shall retain all materials for a period of seven years beyond the faculty member's association with the University, except for the dossier,

which shall be returned to the candidate upon notification of tenure by the Regents, or after the Grievance Board filing deadline has elapsed. (see E.6.r) Upon request by the promotion candidate, the dean shall inform the candidate of the numerical results of the department and college votes.

- n. If the dean's recommendation is to deny promotion, a meeting of the department chair/director, the dean, and the candidate shall be held by the end of the third week of the spring semester to discuss performance improvements that may be made. Upon written request by the candidate, the department chair/director and dean must prepare written reasons for denial of a recommendation for promotion, with a written list of improvements in performance that may enhance the candidate's chances for a subsequent positive promotion review.
- o. The provost/vice president for academic affairs shall review all recommendations and, for each candidate, shall recommend to the president either to grant or to deny promotion. By the end of the seventh week of the spring semester, the provost/vice president for academic affairs shall report each recommendation by certified mail that is to be delivered to the respective candidate, with a copy to the dean and the department chair/director.
- p. *Individuals who are not satisfied with action taken as a result of the review process for change in rank may follow the established university appeal procedure (Section 3.3g, RUSO; Appendix G, UCO Faculty Handbook). This grievance (G.5) must be made no later than twenty (20) working days after the certified receipt of the written notification from the provost/vice president for academic affairs.*
- q. After reviewing all promotion recommendations, the president shall submit his/her recommendations to the Board of Regents. By the last day of classes of the spring semester, the president shall inform each promotion candidate in writing whether or not s(he) was approved by the Board for promotion.
- r. A recommendation for promotion may also come directly from the provost/vice president for academic affairs or from the president of the university without prior recommendation from the department.
- s. *Exceptions to criteria and experience requirements for academic rank or promotion in rank may be made by the university president (Section 3.3f, RUSO).*

Figure E 2.6 Promotion Evaluation Worksheet and Ballot

Department/School _____ Date _____

Candidate: _____ Promotion to: _____

Please declare whether the candidate has met or not met each of the enumerated measures.*

Criterion I

Excellence in Classroom Teaching:

- 1.
- 2.
- 3.

Met Not Met

Met	Not Met
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

Criterion II

Excellence in Scholarly or Creative Achievement:

- 1.
- 2.
- 3.

Met	Not Met
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

Criterion III

Excellence in Contributions to the Institution and Profession:

- 1.
- 2.
- 3.

Met	Not Met
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

Other College/Department Criteria:

- 1.
- 2.

Met	Not Met
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

* The number and type of measures in each of the above four criteria shall be determined by the college and department. In accordance with the university's mission, excellence in classroom teaching must comprise at least 50% of this evaluation.

Ballot

Based upon this analysis, I recommend that this candidate

be approved

not be approved for promotion to:

Comments:

Signatures of all voting member of the department/school are contained on the reverse side as verification of the authenticity of this ballot.

This Tenure and Promotion revision is approved for implementation in Fall, 2013 by:

Dr. John F. Barthell, Provost
Date: August 1, 2013

Dr. Don Betz, President
Date: August 1, 2013

University of Oklahoma

3.7 FACULTY TENURE

Tenure implies a mutual responsibility on the part of the University and the tenured faculty member. In granting tenure to a faculty member, the University makes a commitment to the faculty member's continued employment, subject to certain qualifications. The University expects that tenured faculty members will maintain the level of performance by which they initially earned tenure. In those exceptional cases when it is recommended that a faculty member be permitted to reduce his or her employment to less than full time and maintain a tenured status, specific approval must be granted by the Board of Regents.

Faculty members accorded tenure will normally commence their tenure appointments in the academic year immediately following the action of the Board of Regents.

3.7.1 Academic Tenure - Norman Campus

(A) Definitions

The term "tenure" means continuous reappointment to an achieved academic rank in accordance with the 1947 action of the Board of Regents. It is hereinafter understood that tenure must be granted or denied by specific action of the Board of Regents.

Tenure is designed as a means to protect the academic freedom of faculty members. This is to say, tenure is a means to assure unfettered, unbiased, unencumbered search, verification, and communication of truth by professional scholars and teachers. Tenure is designed to provide faculty members with freedom from political, doctrinaire, and other pressures, restraints, and reprisals which would otherwise inhibit the independent thought and actions in their professional responsibility of search, verification, and communication of truth.

(B) The term "probationary period" refers to the period of employment in an academic rank prior to the time tenure is granted for those faculty hired as tenure track faculty. Notwithstanding different uses of the term elsewhere (as in some statements of the American Association of University Professors), the probationary period does not include any period of employment following the awarding of tenure.

(C) The term "prior service" means academic employment at an institution of higher education (including the University) before the first appointment in the effective probationary period as a tenure track faculty member at the University.

3.7.2 ELIGIBILITY FOR TENURE

(A) All tenure-track faculty of the University of assistant professor or above are eligible for tenure.

(B) It is understood that a faculty member who has been granted tenure by the University, and thereafter accepts an administrative post within the University, retains tenured status as a member of the faculty.

(C) When an initial appointment is made to a position which is primarily administrative but carries with it academic rank of assistant professor or above, specific understanding should be reached at the time of offer with the individual concerned and agreed to in writing by the Senior Vice President and Provost, the dean, chair/director, and the faculty of the appropriate academic unit as to whether the individual will be reviewed for tenure at the proper time and what conditions must be met before there is tenure eligibility.* Whenever a tenure-track faculty member during the probationary period assumes primary administrative responsibilities, agreement should be reached in the same manner. Likewise, whenever an administrator is given academic rank at any time following the initial appointment, the same would apply.

(D) It is understood that a faculty member who has been granted tenure by the University and thereafter changes from a full-time appointment to a volunteer or part-time faculty appointment forfeits tenured status unless the change is temporary or results from the faculty member's being in phased retirement.

(Regents, 12-15-83)

*Academic titles of administrators or professionals are for the same period as the administrative appointment and do not continue beyond it unless the individual is awarded tenure at the time of appointment or is given full-time employment as a faculty person after the administrative duties cease. (Presidential Approval, 8-15-77)

3.7.3 PROBATIONARY PERIODS

(A) The "Contract of Employment" furnished to a candidate for appointment to a tenure-track faculty position shall specify, in addition to the rank and salary, the length of the probationary period entailed in the appointment and any special conditions pertaining to the appointment. All such conditions must be set forth in writing by the Senior Vice President and Provost whenever any faculty appointment is offered.

(B) The probationary period for a faculty member whose effective date of appointment is later than the start of the academic year but no later than the first day of the second semester will be considered as dating from the beginning of the first semester, provided that the department or division in question and the Senior Vice President and Provost agree. If the effective date of appointment is later than the first day of the second semester, the probationary period shall begin with the first semester of the next academic year. (Note 1)

(Regents, 3-8-84)

Note 1: The beginning of academic year appointments on the Norman Campus is August 16 with the beginning of the second semester January 1.

(C) For a faculty member being appointed to a tenure-track position, whose initial appointment is at the rank of assistant professor or associate professor, the probationary period shall be six academic years or twelve regular semesters, except in cases noted below.

(D) Included in the probationary period is prior full-time service (up to a maximum of three years) in professorial ranks at other institutions of higher education unless the faculty member requests in writing at the time of the first regular appointment that such service should not be included and the academic unit, the dean, and the Senior Vice President and Provost approve. Included also is prior regular full-time service (up to a maximum of three years) which the appointee may have performed in the past at the University in the rank of assistant professor or above unless the faculty member requests in writing at the time the faculty member is most recently appointed to a tenure-track position that such service should not be included and the academic unit, the dean, and the Senior Vice President and Provost approve.

Prior full-time service as assistant professor or in a comparable non-professorial rank at other institutions of higher education and prior full-time service on temporary appointments at the rank of assistant professor at the University may be counted as part of the probationary period if this arrangement is agreed upon in writing at the time of the first regular appointment. The parties to such an agreement are the appointee, the faculty and the chair/director of the appropriate academic unit, the dean, and the Senior Vice President and Provost.

(Regents, 2-16-78)

(E) In certain extraordinary cases, tenure may be awarded to faculty members of exceptionally high merit prior to the end of the sixth probationary year. The chair/director of the academic unit must obtain approval from the dean and Senior Vice President and Provost prior to having a faculty member submit a dossier for review. Any academic unit's recommendation to award tenure before the end of the usual probationary period should be accompanied by an accounting of compelling reasons for this action. (Note 2) If the University's decision at that time is not to confer tenure, however, the faculty member in question may, subject to continuation or renewal of contract, continue to serve in the probationary period and be considered for tenure again without prejudice.

Note 2: Early consideration for tenure ought not to be an expected reward for outstanding performance. There should be other "compelling reasons" for any exception to the normal probationary period, and any unit considering such a recommendation should confer with the dean prior to proceeding with the tenure consideration. Early tenure cannot be initiated without prior written approval of the Senior Vice President and Provost.

(Senior Vice President and Provost, 7-8-81)

(F) A new faculty member appointed at the rank of professor or associate professor may be given tenure from the date of appointment, or the probationary period may be set at two, three, or four years, when prior service in a professorial rank at another institution is less than three years. Persons with three or more years of such prior service may have a probationary period of no more than three years. The probationary period's length shall be set by the tenured members of the appointee's academic unit, subject to agreement by the dean and Senior Vice President and Provost at the time of the formal offer of appointment. If a majority of the unit's tenured faculty members favor tenure upon appointment, the determination of tenure shall be made based on the candidate's application, letters of recommendation, and summary of the search committee recommendations and shall include a vote of the tenured faculty, a recommendation from Committee A, a recommendation from the chair/director, a recommendation from the Dean, and a recommendation from the Senior Vice President and Provost to the President, and a final recommendation from the President to the Board of Regents.

(Regents 10-25-04)

(G) Whenever a non-regular or renewable term faculty member is hired into a tenure-track position following a faculty search, with the rank of assistant professor or above, specific written understanding must be approved by the Senior Vice President and Provost as to if and how the period of non-regular service or renewable term service will be counted toward satisfying the probationary period for tenure.

(H) A maximum of one year of leave of absence without pay may be counted as part of the probationary period, provided the department chair or school director in question records in writing its prior agreement and secures administrative approval from the dean and Senior Vice President and Provost. Leaves of absence without pay counted as part of the probationary period must entail appropriate evaluation of professional activities carried out during the leave. At the written request of the faculty member and with the approval of the academic unit, dean, and Senior Vice President and Provost, a tenure-track faculty member may be granted an extension of the probationary period because of circumstances such as family or personal crises or pregnancy.

(I) During the probationary period, a faculty member will be provided by the chair/director of the academic unit with both an annual, written evaluation of performance during the past calendar year and a progress towards tenure letter that reviews the faculty member's entire probationary period at the University. Such annual evaluation from the most recent spring evaluation cycle shall be provided prior to the applicable notification deadline for reappointment, with a copy sent to the dean.

(J) A faculty member at any rank who submits a tenure dossier and is denied tenure shall be retained on the faculty until the end of the academic year following that in which there was notification of the denial, unless there are reasons to the contrary.

(K) Faculty members accorded tenure will normally commence their tenured appointments in the academic year immediately following the action of the Board of Regents.

3.7.4 CRITERIA FOR THE TENURE DECISION

The choices that the University makes in granting tenure are crucial to its endeavors toward academic excellence. A decision to grant tenure must reflect an assessment of high professional competence and performance measured against national standards. Tenure should never be regarded as a routine award.

The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the University. While specific responsibilities of faculty members may vary because of special assignments or because of the particular mission of an academic unit, all evaluations for tenure shall address the manner in which each candidate has performed in:

(A) Teaching

(B) Research or Creative/Scholarly Activity

(C) Professional and University Service and Public Outreach

Above all else, it is essential to any recommendation that tenure be granted that the faculty member has clearly demonstrated scholarly attainment, primarily but not exclusively through teaching and research or creative/scholarly activity. Each academic unit, with the participation and approval of the dean and the Senior Vice President and Provost, shall establish and publish specific criteria for evaluating faculty performance in that unit, so long as those criteria are in accord with this policy. These criteria may be changed by the faculty of the unit from time to time with the approval of the dean and the Senior Vice President and Provost. The Senior Vice President and Provost's approval of the revised criteria shall indicate a date on which they become effective. The revised criteria shall apply to all faculty in the unit appointed to the tenure-track after the effective date. Untenured faculty in the tenure-track on the effective date shall be subject to the revised criteria in instances where the changes affect only the process by which the unit ascertains the quality of individual faculty performance. When the revisions involve changes in the quality of faculty performance required for granting tenure, faculty already in the tenure-track shall remain subject to the previous criteria unless these faculty consent to the new criteria in writing.

In those cases in which specific assignments might limit the faculty member's involvement in any area of faculty responsibility, a written understanding to this effect

should be filed in the Office of the Senior Vice President and Provost and approved by the dean and the chair of the academic unit at the time the assignment is made.

The award of tenure carries with it the expectation that the University shall continue to need the services the faculty member is capable of performing and that the financial resources are expected to be available for tenured employment. It also carries the expectation that the faculty member will maintain or improve upon the level of achievement which characterized the qualifications for tenure.

3.7.5 PROCEDURES FOR THE TENURE DECISION

(A) A faculty member who is eligible for tenure consideration should be notified by the chair of the academic unit by May 15 before the initial vote by the faculty member's colleagues. (See (f) below.)

(B) At the time of notification, the candidate for tenure shall be requested to submit material which will be helpful to an adequate consideration of the faculty member's performance or professional activities in relationship to the tenure criteria. The candidate should be advised to consult with the chair or any other senior colleagues concerning the materials to include. It should be made clear, however, that responsibility for the contents resides with the candidate.

Note 1: All the materials assembled in accord with Section 3.7.5(b), (c), and (d) constitute the tenure dossier. Once the dossier is presented to the tenured faculty members for their vote in the process, it should not be changed either to increase it or decrease it. That way, it is clear what has been seen by all parties in the review process. Should any other items arise later that should be taken into account in the tenure process, those can be sent to any person in the tenure review process with the request that that person also take that information into account in making his or her recommendation. Technically, though, that information would not become a part of the tenure dossier itself. For example, (1) an outside letter of evaluation is received after the tenure dossier has been assembled and the tenured faculty have taken their vote, (2) someone volunteers a letter about the candidate during the process, or (3) an administrator in accord with 3.7.5(n) solicits advice from others.

(Senior Vice President and Provost, 11-22-82)

(C) The department chair/director is responsible for overseeing the preparation and uploading of the candidate's material to the online system (as described in the Senior Vice President and Provost's "Call for Tenure Recommendations") and making the material available for review online by the voting members of the academic unit at least two weeks prior to the vote. Following the vote, the academic unit's recommendation and all appropriate documentation shall be uploaded and the appropriate dean's office notified.

(D) Preceding the vote, all tenured faculty voters who are available shall meet for a discussion of the candidate's qualifications for tenure. It is assumed that the eligible voters will have studied the candidate's materials prior to the meeting. (See Note 1 above)

(E) The candidate should not be present during the discussion of his or her qualifications. The candidate should be available, however, to enter the meeting on invitation to answer questions or clarify circumstances relevant to the qualifications.

(F) Formal consideration for tenure shall originate with the polling by secret ballot of all tenured members of the candidate's academic unit, including, when practical, those who are on leave of absence. If it is proposed to consider a tenure recommendation prior to the candidate's tenure decision year after obtaining the dean's and Senior Vice President and Provost's preliminary approval to consider an early tenure decision, the tenured members of the unit shall hold a preliminary vote on whether to do so, and consideration of early tenure will proceed only if a majority of tenured faculty members favor such consideration. Subsequently, in any formal poll of tenured faculty taken prior to the candidate's designated tenure decision year, no tenure recommendation will be forwarded unless a majority of those polled favor granting tenure. Whatever the result of the faculty poll taken during the designated tenure decision year, it will be forwarded. In all cases, the result of the vote must accompany the recommendation. The numerical result of the formal secret ballot polling shall be provided to the candidate at the candidate's request.

(G) The chair and Committee A shall submit separate recommendations with supporting reasons.

(H) While primary responsibility for gathering complete information on professional activity rests with the individual faculty member, the chair or designated committee or mentor should assume a share of this responsibility to be certain that all tenure recommendations are initiated on the basis of full documentation, which must be considered by any person or group making a recommendation.

(I) All recommendations shall be in writing and, with the exception of the faculty recommendation resulting from the secret poll, reasons for the recommendations must be stated. At the time recommendations are made at any stage of the review process, notification of such recommendations must be provided to the chair and the individual candidate. It shall be the responsibility of the chair to inform the faculty of the unit about recommendations made at the various stages of the review process.

(J) Copies of the academic unit recommendations and all appropriate documentation upon which recommendations were based will be forwarded to the appropriate dean. The dean will attach a recommendation to the tenure materials and forward all materials to the Campus Tenure Committee with supporting reasons and will notify the candidate and the chair of the unit of the recommendation.

(K) The main purpose of the Campus Tenure Committee is to provide faculty advice on whether the academic unit's recommendation with regard to both substance and process is

sustained by the accompanying documentation and is consistent with the approved tenure criteria of the academic unit and the University. If it determines that the documentation is inadequate, the Campus Tenure Committee may request more information from the academic unit.

(L) The Campus Tenure Committee will attach its recommendations to the tenure materials and forward all materials to the Senior Vice President and Provost with supporting reasons and will notify the candidate, the chair of the unit, and the college dean of its recommendations. The numerical result of the Campus Tenure Committee recommendation shall be provided to the candidate at the candidate's request.

(M) The Campus Tenure Committee will be composed of nine tenured faculty members on staggered three-year terms. The Faculty Senate appoints two new members each year, and the President appoints one new member each year.

(N) In determining its recommendation, the Campus Tenure Committee may request information or advice from any person. Committee members from the originating academic unit of a case under consideration will absent themselves from discussions regarding that case.

(O) The existence of the Campus Tenure Committee in no way limits the right of administrative officers to solicit advice from faculty members in determining their recommendations.

(P) In any tenure case where the Senior Vice President and Provost plans to submit to the President a recommendation contrary to that of the Campus Tenure Committee, the Senior Vice President and Provost shall so notify the Campus Tenure Committee, allowing sufficient time and opportunity for the Senior Vice President and Provost and the Campus Tenure Committee jointly to conduct a thorough discussion of the case before the Senior Vice President and Provost presents a final recommendation to the President. If after such a discussion the Senior Vice President and Provost and the Campus Tenure Committee are in disagreement, the President or the Committee may request a meeting between the President and the Campus Tenure Committee before the President makes a final recommendation to the Board of Regents.

(Q) At any stage of the tenure review process, the concerned faculty member may appeal in writing to the Faculty Appeals Board if it is believed that procedural violations have occurred in the case or that violations of academic freedom have occurred. If it is believed that there has been discrimination on the basis of race, color, national origin, sex, age, religion, disability, political beliefs, or status as a veteran, the faculty member may file a written appeal with the University Equal Opportunity Officer. Such appeals must be made within 180 calendar days after discovery of the alleged violation, and the review process will be suspended until a resolution is effected. Such an appeal shall not have the effect of extending the faculty member's terminal year should tenure be denied.

(R) The President will notify each faculty member by May 31 whether tenure has been granted, except when appeals make this impossible.

(Regents, 6-15-78, 12-14-78, 7-22-81, 12-12-85, 1-15-87, 7-23-87, 6-27-95, 1-26-99, 1-27-04, 10-25-04)

3.7.6 POST-TENURE REVIEW POLICY – NORMAN CAMPUS

Post-tenure review at the Norman Campus is a periodic peer-based evaluation of tenured faculty for the purpose of guiding career development and, when judged necessary, improving faculty performance. The post-tenure review process is based on and extends the annual evaluation of faculty described in the Norman Campus Faculty Handbook through two processes: (1) a retrospective review of faculty performance in teaching; research and creative/scholarly activity; and professional and University service and public outreach over the five years preceding the review, and (2) a formative evaluation for future professional growth.

For all faculty, post-tenure review provides a formal opportunity for self-assessment and discussion with peers about professional development. For those faculty whose performance is judged to be below expectations, the evaluation leads to the formulation of a professional development plan, the purpose of which is to assist the faculty member to raise his or her level of performance to meet or exceed the expectations for tenured faculty.

Post-tenure review is mandatory for all tenured faculty who are reviewed under the applicable section of the Norman Campus Faculty Handbook, unless they have signed an agreement to retire within the two years following the year of the scheduled review or have entered into a formal phased retirement agreement with the University. Bearing in mind the value and importance of academic freedom and procedural due process to the well being and success of the academic community, the University acknowledges and supports in principle the policies and procedures set forth in the AAUP's Standards for Good Practice in Post-Tenure Review. Post-tenure review is not a re-evaluation of a faculty member's tenure status, nor is it intended as means to effect programmatic change. The post-tenure review process will be carried out in a manner that is consistent with the University's policies on academic freedom and responsibility and on faculty evaluations (see the Norman Campus Faculty Handbook). Post-tenure review will be based on the criteria for annual review established by the faculty of the unit and approved by the administration.

The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in the Norman Campus Faculty Handbook

Post-tenure reviews shall be initiated immediately following the completion of the annual faculty evaluation process.

(A) TIMING

(1) Normal Review

Each faculty member shall undergo post-tenure review in the fifth year after the year in which the faculty member is awarded tenure or promotion, whichever is later, and every fifth year thereafter. Annually, the Office of the Senior Vice President and Provost will identify those faculty to undergo a normal post-tenure review, and establish and publish a time schedule for completing the required steps in the post-tenure review process.

(2) Early Review

A post-tenure review shall be initiated earlier than the normal review cycle under the following circumstances:

- (a) If the composite or overall rating of a tenured faculty member's performance on the annual evaluation is below expectations (i.e., 2.0 or less on a 5.0 scale) for two consecutive years, an early post-tenure review will be initiated immediately as an extension of the annual evaluation. Candidates for early post-tenure review will be identified by Committee A as part of the annual faculty evaluation process and reported to the unit's budget dean. However, Committee A may request from the dean permission to postpone initiation of an early review for one year if, in their opinion, the early review is not justified due to circumstances that Committee A enumerates in its request to the dean. With the approval of the dean, the initiation of an early review shall be postponed one year. If the review is postponed and the faculty member is judged to have performed to expectations in this third year, no early review will be required. If performance continues below expectations, the early review will be conducted immediately following the third year annual evaluation.
- (b) A tenured faculty member may request an early review for the purpose of professional development. Such reviews are not subject to the mandatory professional development plan nor to the sanctions provisions of this policy.

(B) LEVEL OF THE REVIEW

The review will be conducted by a Post-tenure Review Committee composed of the members of Committee A, the chair or director of the unit or units in which the faculty member holds an appointment, unless another arrangement has been approved in writing by the budget dean(s) and the Senior Vice President and Provost. Provided, in exceptional cases, as determined by the Senior Vice President and Provost, a senior faculty member outside such unit but within the college shall be added to the Post-tenure Review Committee, such member being chosen by the tenured faculty member under review from a list of three candidates selected by the Senior Vice President and Provost.

The results of the review will be forwarded simultaneously to the budget dean(s) and the Senior Vice President and Provost. All recommendations for actions must be forwarded to the dean(s) for approval.

(C) COMPONENTS OF THE REVIEW

Post-tenure review dossiers shall consist of the following elements:

(1) Annual evaluations and mini-vitae for the previous five years. The annual evaluations and the accompanying mini-vitae from the five years prior to the review will constitute the primary sources of information about the faculty member's performance. The post-tenure review will take into account the numerical evaluations (on a scale of 0-5) for: teaching; research, scholarship and creative activity; professional, university and administrative service; and the composite evaluation reflecting the relative weights of the three categories.

(2) A self-appraisal by the faculty member being reviewed. A written statement prepared by the faculty member will constitute a central element of the post-tenure review dossier. This statement is intended to serve two purposes: provide a formal opportunity for the faculty member to reflect on his or her professional career and contributions to the University; and serve as a source of information to Post-tenure Review Committee to assist in helping the faculty member develop professionally. In this statement, the faculty member should describe his or her past contributions to the unit(s) to which he/she is appointed and to the University, assess the current state and direction of his or her career, and discuss what he or she has planned professionally for the next five years. This self-appraisal should include an evaluation of his or her past performance in the areas of teaching, research, and creative/scholarly activity and professional and University service and public outreach; a statement of professional goals for the next five years; and an explicit discussion of how achieving those goals will advance his or her professional career and contribute to achieving the goals of the unit(s) to which he or she is appointed and the University as a whole. This document is not intended to be a contract but only a source of information to the Post-tenure Review Committee to assist it in helping the faculty member to develop professionally.

(3) The faculty member's current complete curriculum vitae.

(4) Sabbatical leave reports. The report of activities and accomplishments of any sabbatical or other leaves that occurred during the interval being reviewed should also be included.

(5) Post-tenure Review Evaluations. A copy of the evaluations by the Post-tenure Review Committee from the faculty member's previous post-tenure review(s), if any.

(6) Final Reports. A copy of previous professional development plans, if any.

(D) EXPECTATIONS

Faculty are expected to perform in all categories of the annual evaluation and achieve a composite evaluation of 2.01 or higher on a criterion-referenced scale of 0-5. The criteria should be specified in the approved evaluation criteria of the unit(s) to which the faculty member is appointed. As required under Section 3.3 of the Faculty Handbook, academic units should communicate carefully and clearly to their faculty the specific criteria for evaluation of the unit that are used for the basis of the annual evaluation.

When and only when a faculty member's five-year average composite evaluation is lower than 2.01, the faculty member shall be required to develop and participate in a professional development plan as described herein.

(E) FEEDBACK

All faculty members undergoing post-tenure review will be provided with written and verbal feedback about how they are developing as professionals and how the Post-tenure Review Committee evaluates the professional goals of the faculty member in relation to the goals and mission of the unit and the University. Within thirty days of completing its review of the faculty member's dossier, the Post-tenure Review Committee will provide the faculty member with a written evaluation of his or her past performance, current status, and future professional goals. In addition, within thirty days of providing the faculty member its written evaluation, the Post-tenure Review Committee will meet with the faculty member to discuss the findings of the review.

(F) PROFESSIONAL DEVELOPMENT PLAN

A professional development plan is intended to assist a faculty member whose performance is not meeting expectations to bring his or her performance up to the expected level. Participation in a professional development plan is mandatory for faculty members who, during post-tenure review, are found not to meet the expectations for faculty performance, as described in Section 3.7.6(D). Other faculty members may request, from Committee A, permission to participate in a professional development plan on a voluntary basis to assist in their professional development. Voluntary professional development plans are not subject to the sanctions described in Section 3.7.6(G) and shall not alter the cycles of the normal and/or early review or otherwise affect those processes.

(1) Process

The professional development plan should be prepared cooperatively between the faculty member and the Post-tenure Review Committee. The faculty member should prepare a draft of the plan and submit it to the Post-tenure Review Committee within 30 calendar days after his or her initial meeting with the Post-tenure Review Committee to discuss the results of the post-tenure review. The

Post-Tenure Review Committee must prepare a final plan, in negotiation with the faculty member, and submit it to the budget dean(s) for approval within 60 calendar days after the initial meeting between the Post-tenure Review Committee and the faculty member to discuss the results of the post-tenure review, and within 30 calendar days of its initial receipt of the draft plan from the faculty member. Should the faculty member disagree with the final plan prepared by the Post-tenure Review Committee, he or she may write an appeal to be submitted to the budget dean(s) along with the plan, setting forth the reasons for disagreement.

The dean(s) must notify the faculty member and the Post-tenure Review Committee, in writing, as to whether or not the final plan is approved. If the plan is not approved, the faculty member and the Post-tenure Review Committee must be notified in writing of the reasons for non-approval and the process described in the previous paragraph should be repeated until approval is obtained.

Following approval of the plan, the Post-tenure Review Committee must meet with the faculty member and explain both the contents of the plan, including the expected time-line, and the consequences to the faculty member of failure to attain the goals of the plan. Reasonable University resources to support implementation of professional development plans will be provided by the Senior Vice President and Provost and the dean of the College. A faculty member shall have the two full annual evaluation cycles following the date the plan is approved to accomplish the goals of the plan and to bring his or her performance up to expected standards.

(2) Content of the Plan

The professional development plan should include the following components:

- (a) Goals and expectations.
- (b) Proposed activities.
- (c) A timeline for the plan.
- (d) Resources that will be made available to the faculty member to assist with completion of the plan.
- (e) An explanation of the consequences of failure to attain the goals of the plan. This provision is not applicable for a voluntary professional development plan.
- (f) Signatures of the faculty member, the member's Post-tenure Review Committee and the budget dean(s) verifying an understanding of the plan.

(3) Monitoring, Follow-up, and Final Report

Formal written evaluation of the faculty member's progress towards meeting the goals of the professional development plan will take place as part of the annual evaluations of the faculty member following the beginning of the plan. Since less than a year will have elapsed between the implementation of the plan and the next annual faculty evaluation, that evaluation and the subsequent annual evaluation shall be used by the Post-tenure Evaluation Committee as an opportunity to

provide written feedback to the faculty member on his or her progress in meeting the goals of the plan. The final assessment of the faculty member's progress in meeting the goals of the plan shall occur during the third annual faculty evaluation after implementation of the plan. Following this third annual evaluation, a written report will be issued by the Post-tenure Review Committee to the faculty member, with copies to the dean(s), explaining the outcome of the plan.

(G) SANCTIONS

Failure of the faculty member to meet the goals specified in the plan and to bring his or her performance up to the level expected may lead to the initiation of the Severe Sanctions process of the Faculty Handbook. The results of the professional development plan, including without limitation, the final report, shall be relevant evidence in such a proceeding. In tenure abrogation proceedings, the University retains the burden of persuasion to show cause, as defined by the Faculty Handbook. Provided, nothing in this policy shall be construed to limit or restrict the University's authority to undertake the Severe Sanctions process set forth in the Faculty Handbook.

Alternative actions, such as resignation or retirement from the University, may be negotiated and implemented with approval of the budget dean(s) and the Senior Vice President and Provost.

(Regents, 5-7-99, 10-25-04)

3.8 ABROGATION OF TENURE, DISMISSAL BEFORE EXPIRATION OF A TENURE-TRACK APPOINTMENT, OR RENEWABLE TERM APPOINTMENT, AND OTHER SEVERE SANCTIONS – NORMAN CAMPUS

The University strives to exercise great care in selecting its faculty appointees and to confer tenure only upon those faculty members who have demonstrated their merit for tenured appointment. For that reason, severe sanctions such as a dismissal proceeding involving a tenured faculty member (abrogation of tenure) or of a faculty member during a tenure-track appointment or a renewable term faculty member should be an exceptional event. It also is recognized, however, that a few faculty members may, from time to time, engage in improper conduct which requires severe sanctions short of dismissal. Such sanctions may include but are not limited to loss of prospective privileges for a stated period (for instance, loss of eligibility for a sabbatical leave of absence, loss of remunerated consultative privileges, loss of remunerated private practice privileges); restitution (payment of damages due to individuals or to the University); a fine; a reduction in salary; or suspension from service for a stated period, without other prejudice. As in the case of dismissal, the imposition of severe sanctions short of dismissal should be viewed as a serious and infrequent step usually undertaken only after administrative remedies and minor sanctions have failed.

While extreme action will be required infrequently, the University must be prepared for such an eventuality so that both the integrity of the University and the rights of the faculty member may be preserved. Toward this end, the faculty must be willing to recommend severe sanctions of a colleague when necessary. By the same token, the President and the Board of Regents shall give all reasonable consideration to faculty recommendations.

Only the Board of Regents has the power to impose severe sanctions. The Board of Regents shall exercise this power only in cases where it determines that there exists sufficient cause for such action.

3.8.1 GROUNDS FOR ABROGATION OF TENURE, DISMISSAL, AND SEVERE SANCTIONS

A faculty member against whom the imposition of a severe sanction is to be brought or whose dismissal is to be requested must have given such cause for the action as relates directly and substantially to his or her professional capabilities or performance. It is not possible to specify all proper grounds for these drastic measures. Proper reasons for dismissal of a faculty member who has tenure or whose tenure-track or renewable/consecutive term appointment has not expired include the following:

(A) Professional incompetence or dishonesty;

(B) Substantial, manifest, or repeated failure to fulfill professional duties or responsibilities;

(C) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities;

(D) Substantial, manifest, or repeated failure to adhere to University policies; including, for example, the University's Compliance Program;

(E) Serious violations of law which are admitted or proved before a court of competent jurisdiction or the administrative hearing body established to hear such matters, which prevent the faculty member from satisfactory fulfillment of professional duties or responsibilities, or violations of a court order, when such order relates to the faculty member's proper performance of professional responsibilities; Subparagraphs (f) and (g), below, are not severe sanctions but nevertheless are valid reasons for terminating employment of a faculty member who has tenure or whose tenure-track or renewable term appointment has not expired.

(F) Changes in the University's educational function through action of the Board of Regents and/or the Oklahoma State Regents for Higher Education which result in the elimination of an academic unit. In such instances, the University will make every reasonable effort to reassign affected faculty members to positions for which they are properly qualified before dismissal results from such elimination. (Copies of the Program

Discontinuance Policy, approved April 8, 1993, are available in the Senior Vice President and Provost's Office and the University of Oklahoma Regents' Office. The Financial Emergency Policy is in the Faculty Handbook, Section 5.43.)

(G) Financial Emergency as set forth hereinafter in the Financial Emergency Policy in section 4.21 of the Regents' Policy Manual.

(Regents 10-25-04)

3.8.2 GROUNDS FOR SUMMARY SUSPENSION

Suspension of a faculty member or assignment to other duties in lieu of suspension is justified only if immediate harm to the faculty member or to others is threatened by that person's continued performance of regular duties or if the faculty member has failed to adhere to the University's Compliance Program. The faculty member may, on written request and at the convenience and discretion of the department, be relieved of some professional duties if this is necessary to provide time for the preparation of a defense. Summary suspension does not remove from the University the obligation to provide due process within a reasonable period of time following action.

The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in the Norman Campus Faculty Handbook

3.8.3 INITIAL PROCEDURES FOR ABROGATION OF TENURE, DISMISSAL BEFORE EXPIRATION OF A TENURE-TRACK APPOINTMENT OR RANKED RENEWABLE TERM APPOINTMENT, AND OTHER SEVERE SANCTIONS

(A) Initial Proceedings

Section 3.8.3 pertains to tenured, tenure-track or ranked, renewable term appointment faculty.

(1) Administrative Review.

When reasons arise to question the fitness of a faculty member whose conduct may warrant the imposition of severe sanctions, the circumstances shall be brought to the attention of the appropriate administrative officer(s) (i.e., Department Chair, Director, Dean, or Senior Vice President and Provost or, as provided in subsection (2) below, an Institutional Equity Officer) who shall ordinarily investigate the matter to include, among other things, meeting with the faculty member in person to fully discuss the matter, unless reasonably prevented from doing so. If after investigation, the administrative officer determines the conduct warrants imposition of severe sanctions, he/she shall convey the matter and a recommendation to the President and Senior Vice President and Provost (Provost). However, if after investigation, he/she determines the conduct does not warrant severe sanctions, the matter may be resolved by mutual consent. The

faculty member is encouraged to seek the assistance of the University Ombudsperson.

(2) Institutional Equity Office Matters.

When such concerns involve Civil Rights matters (defined below), if the complaining party has not already reported the matter to the University's Institutional Equity Office (IEO), the appropriate administrative officer shall immediately refer the matter to the IEO for investigation. Upon conclusion of the investigation, the IEO officer shall refer his/her findings and conclusions to the appropriate administrative officer for action in accordance with subsection 3.8.3(A)(1), above.

When the term "civil rights" is referred to in this policy, it refers to matters falling under the Nondiscrimination Policy (e.g. discrimination or harassment based on race, ethnicity, national origin, sex, sexual orientation, genetic information discrimination, color, age, religion, disability, political beliefs, or status as a veteran <http://www.ou.edu/home/eoo.html>), the Sexual Misconduct, Discrimination and Harassment Policy (e.g. discrimination or harassment based on the interference with the enjoyment or the entitlement to an educational, institutional or employment benefit because of gender—<http://www.ou.edu/home/misc.html>), or the Consensual Sexual Relations Policy (e.g. prohibition on persons in positions of authority having intimate relationships with their subordinates or students—<http://www.ou.edu/home/misc.html>(collectively, "Civil Rights").

(3) Faculty Appeals Board Referral.

If the President decides that there is reason to question the faculty member's fitness or professional behavior as set forth in Section 3.8.3(A)(1) or (2), above, the President shall so inform the Chair of the Faculty Appeals Board, the faculty member and appropriate administrative officers.

(B) Faculty Appeals Board Preliminary Review.

(1) FAB Inquiry.

Other than for Civil Rights matters, the Chair of the Faculty Appeals Board may then conduct or cause to be conducted, additional inquiry/investigation into the matter, as the Chair deems necessary.

(2) FAB Prehearing.

For all severe sanctions matters coming to the Faculty Appeals Board (FAB), the Chair of the Faculty Appeals Board shall conduct a pre-hearing review (which shall include, other than for Civil Rights claims, the participation of other

members of the FAB selected by the Chair) pursuant to informal procedures to be determined by the Chair. The pre-hearing review will, other than for Civil Rights claims, provide the faculty member(s) and a University representative(s) the opportunity to appear and relate their views of the matter. Other than these parties, no witnesses will be heard and although attorneys and/or advisors may be present in an advisory capacity to the parties, they may not otherwise participate in the prehearing. When completed, the FAB Chair shall advise the President whether, in his/her view as a result of the prehearing, formal proceedings for severe sanctions should be instituted.

(C) Decision Whether to Proceed and Notice.

The President shall consider the FAB Chair recommendation, together with other relevant information, and determine whether or not to move forward with formal severe sanctions proceedings. The President, or the President's designee, shall inform the faculty member(s) in question, the FAB Chair and appropriate administrator of the decision, in writing. If the President's decision is to move forward with a hearing, appropriate administrative officials may assist in composing the complaint. A hearing shall take place as described below in Section 3.9.1(B)(8).

(D) The Complaint.

The President or the President's designee shall set forth the complaint against the faculty member with reasonable particularity and shall file the formal written complaint with the FAB within 60 days of the FAB Chair's recommendation.

University of Science and Arts of Oklahoma

Academic Tenure

The “1940 Statement of Principles,” which is widely cited as the basis for academic tenure, reads as follows:

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to assure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

Tenure is a means to certain ends; specifically: (1) Freedom of teaching and research and of extra-mural activities, and (2) A sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

According to these principles, the scope of academic freedom is limited to the search for and exposition of truth for the benefit of professors and students in teaching and research in serving the common good. These principles also protect against scrutiny of private life beyond the duties associated with faculty membership.

The University of Science and Arts of Oklahoma is committed to honoring the 1940 Statement of Principles. The scope of academic freedom as expressed in the 1940 Statement of Principles, however, does not include the right to violate Faculty Responsibilities and Ethics.

Furthermore, according to these principles, tenured status confers “a **sufficient** degree of economic security to make the profession attractive to men and women of ability.” Tenure is not guaranteed employment for life; tenure is not absolute security. **Tenured status is not leave to perform at a level inferior to the standard required to be granted tenure. Tenure is not a license to breach Faculty Responsibilities and Ethics or to ignore the demands of continued excellent performance.**

Tenured status provides men and women of ability sufficient economic security to allow them to pursue excellence without undue concern about continued employment.

Tenure may be revoked for cause pursuant to appropriate due process (*see* “Review of Tenured Faculty Members,” *infra.*, pp. 25-27 and “Abrogation of Tenure,” *infra.*, pp. 27-29). Tenure further does not protect against termination due to lack of need for services, or due to financial exigency (*see* “Exigency Policy,” *infra.*, pp. 32-33).

The guarantee of due process associated with tenured status assists USAO to recruit exceptionally qualified faculty on a national level.

With the foregoing in mind, tenure is an arrangement under which faculty appointments by the Board of Regents of the University of Science and Arts of Oklahoma are expected to continue until retirement.

Tenure shall not apply to administrative positions, but a tenured faculty member appointed to an administrative position shall retain tenure as a faculty member.

Criteria for Tenure

Only full-time members of the faculty appointed to a tenure-track position are eligible for consideration for tenure. A faculty member may withdraw from a tenure-track position at any time. Serving in a non-tenure-track position means only that reappointment is formally on a year-to-year basis.

For those appointed to a tenure-track position, the criteria for tenure are as follows:

- A. A terminal degree in the appropriate academic discipline and a minimum of 60 graduate hours. Normally, this degree will be the earned doctorate.
- B. A faculty member may apply for tenure during the faculty member’s final probationary year as listed below. The probationary period applies to all tenure-track appointments and will not be changed except by mutual agreement of the faculty member and USAO through specific action of the Board of Regents.

Probationary Periods for Tenure Consideration:

The Division Chair shall discuss tenure requirements with eligible faculty members and review annually the faculty member’s preparation for tenure application.

Rank at <u>Original</u> Appointment:	Probationary Period
Instructor	6 years (application begins in fall of 6 th year)
Assistant Professor	5 years (application begins in fall of 5 th year)
Associate Professor	4 years (application begins in fall of 4 th year)
Professor	3 years (application begins in fall of 3 rd year)

A probationary year consists of full-time service to the University during the fall and spring trimesters. Time spent on leave of absence does not apply to the probationary period, nor does time served in non-tenure track appointments.

- C. The faculty member bears the burden to provide evidence that his or her contribution is significant to the continuing mission and program of the University, and to provide evidence through a tenure dossier file of successful performance at the academic rank currently held and promise of continuing successful performance. The candidate's tenure dossier file must demonstrate substantial accomplishment in the three faculty function areas of teaching and advising; research, creative or scholarly development; and university and professional development and service, including positive contributions to the special assigned mission of USAO. (See pp. 2-4 *supra*.) The candidate should also have an exemplary record regarding **Faculty Responsibilities and Ethics** (*supra*. pp. 14-16). The primary criterion for tenure approval, however, is teaching excellence.

Procedures for Tenure (revised 6/9/2015; 9/9/2014)

- A. The faculty member seeking tenure must submit a tenure dossier folder to their Division Chair by November 1 of their final probationary year¹. Tenure dossier must include sections titled “I. General Summary” and “II. Supporting Evidence” (a third section titled “III. Other” may be included if necessary)². Supporting evidence should only be a compilation of Annual Reports. Annual Reports need to date back to initial hiring.

The Division Chair will make the dossier materials available to all full-time faculty members of the Division. Division members will meet no later than November 15 to discuss the application for tenure. In a secret written ballot, tenured Division members will vote either “yes” or “no” and give written reasons for their vote. A vote given without reasons will not be counted. A Divisional faculty member who is currently serving on the Promotion and Tenure Committee will vote on the application in both the Division and the Promotion and Tenure Committee. In the case where there are no eligible voters, the chair will collect comments but no official vote will take place.

The faculty member whose request for tenure is being considered cannot be present during a Division discussion and vote.

The Division Chair will insure and maintain the confidentiality of every ballot and keep the original ballots in a secure place.

- B. The Division Chair will prepare a written report of the tenured members’ votes and their reasons. The Division Chair will also prepare their separate written recommendation supported by reasons. The Division Chair will add to the applicant’s dossier these two additional items and forward it to the Vice President for Academic Affairs by December 1.
- C. The Vice President for Academic Affairs will provide the dossier and all recommendations to the Faculty Promotion and Tenure Committee by December 5.
- D. The Promotion and Tenure Committee shall meet and vote on the tenure application. The chair of the committee will write a report of the vote counts and list the reasons for and against the applicant’s tenure request. The chair will add this report to the applicant’s tenure dossier and return it to the Vice President for Academic Affairs no later than January 15. A faculty member whose application for tenure is being considered cannot be present during the committee’s discussion and vote.
- E. The Vice President for Academic Affairs shall prepare and submit their separate written recommendation, together with all other recommendations and the dossier, to the President by February 1.

¹ See Probationary Periods for Tenure Consideration.

² See Appendix G for more information.

- F. The President shall make a recommendation to the Board of Regents at the April meeting. The applicant will receive notification, in writing, of the Regents' decision within 15 days. If approved, tenure will become effective the following fall trimester.

An applicant not recommended for tenure at any stage of consideration will be so notified by the Division Chair or the Vice President for Academic Affairs before the dossier and recommendations are forwarded to the next stage. The notice will be in writing and will include reasons related to the criteria for tenure. **The applicant may add a written response to a negative recommendation before the recommendation is forwarded.**

An applicant may, at any stage in the procedure, submit a written request to the division chair or Vice President for Academic Affairs withdrawing a tenure application from further consideration. To preclude an official denial of tenure from attaching to the candidate's record, the written withdrawal must include a resignation effective at the close of the spring trimester of the final probationary year.

When the President's recommendation to be submitted to the Board of Regents is to deny tenure, the President shall so notify the candidate by March 1.

An applicant not recommended for tenure may submit a written request for a hearing to the Chair of the Academic Personnel Committee within 21 calendar days after receipt of notification of the negative recommendation. This committee will not review the substantive decision, but will review and determine only whether required procedures have been followed. The Committee will report its findings to the VPAA.

Except for a request for a hearing before the Academic Personnel Committee, time is not of the essence at any stage of the foregoing "Procedures for Tenure."

Regardless of whether the faculty member requests a hearing before the Academic Personnel Committee, the faculty member may request a hearing before the Board of Regents to be conducted at its April meeting. The request for that hearing must be submitted to the President by March 31.

If the Board of Regents denies tenure, the faculty member shall be notified by registered mail. A faculty member denied tenure shall not be employed by USAO beyond the close of the spring trimester of that final probationary year.

Except for a request for a hearing before the Academic Personnel Committee and/or the Board of Regents, time is not of the essence for any stage under "Procedures for Tenure."

Review of Tenured Faculty Members (revised 9/14/2016; 9/9/2014)

The University of Science and Arts of Oklahoma recognizes the need for a review of tenured faculty members to ensure continued professional development and accountability. Tenured faculty members must comply with all procedures associated with evaluation (*supra.*, pp. 16-17). Additionally, in the fall of every fifth academic year of tenure following the original granting of tenure by the Board of Regents, tenured faculty members will be formally reviewed for performance.

Procedure for Post-Tenure Review (revised 9/14/2016; 6/9/2015; 9/9/2014)

- A. By April 1 of the academic year preceding the year of the tenure review, the Vice President for Academic Affairs will notify the faculty member in writing of the upcoming tenure review.
- B. The faculty member will prepare a brief Post-Tenure Review (PTR) Summary. This Tenure Review Summary is to be supported by five Annual Reports over the previous five (5) years. The Tenure Review Summary will be presented to the Division Chair for Division consideration by October 1. In a secret written ballot, **tenured** Division members will vote either "yes" or "no" and give written reasons supporting that vote. A Divisional faculty member who is currently serving on the Promotion and Tenure Committee will vote on the application in both the Division and the Promotion and Tenure Committee. The ballots will be submitted to the Division Chair no later than October 15. A vote given without reasons will not be counted.

The faculty member whose post-tenure review is being considered will not be present during a division discussion and vote.

The Division Chair will insure and maintain the confidentiality of every ballot and keep the original ballots in a secure place.

- C. The Division Chair will prepare a written report of the Division faculty's vote and reasons given by Division Faculty. The Division Chair will also prepare her or his separate written recommendation supported by reasons. The Division Chair will forward the dossier, together with the written report of the Divisional faculty's recommendation and the Division Chair's separate written recommendation, with reasons, to the Vice President for Academic Affairs by November 1.
- D. The Tenure Review Summary, the Division recommendation, and the Division Chair's recommendation will be considered by the Vice President for Academic Affairs. The Vice President for Academic Affairs will prepare a separate written recommendation. If all recommendations are favorable, the Vice President will forward the Tenure Review Summary, the Division recommendation, the Division Chair's recommendation and the Vice President's recommendation to the President of the University by December 1.
- E. If a negative recommendation occurs at any point during the procedure, such a recommendation will be referred to the Faculty Promotion and Tenure Committee for review and consideration. The Faculty Promotion and Tenure Committee will meet and review the recommendations then report its findings and conclusions to the Vice President for Academic Affairs by January 15.
- F. The President of the University will forward the Tenure Review Summary, the President's recommendation, and all other recommendations to the Board of Regents.
- G. The Board of Regents will act upon the tenure review recommendation at the February meeting.
- H. If action by the Board of Regents is positive, the faculty member will be notified in writing of a satisfactory review.

- I. If action by the Board of Regents is negative, the faculty member will be informed in writing of the reasons and support for the action. This notice serves to initiate a second tenure review the following academic year that will follow the same procedures for the initial tenure review with a Tenure Review Summary presented to the Division Chair by October 1.
- J. If the second tenure review results in a negative action by the Board of Regents, the faculty member will be notified of the University's intention to terminate employment at the end of the Spring trimester in effect at the time of the February review by the Board of Regents.
- K. If a faculty member is promoted prior to the post-tenure review, the PTR schedule will re-set to the time of the promotion (e.g., the next PTR will be five (5) years after promotion).
- L. Under extenuating circumstances, the Vice President for Academic Affairs may require a Post-Tenure Review of a faculty member, even if that review is outside the normally scheduled review.

Procedure for Appeal

A faculty member who receives notice of intention to terminate employment as a result of the foregoing tenure review proceedings may request a hearing before the Board of Regents. The request must be in writing and be submitted to the President of the University within 21 calendar days after notification of the formal action of the Board of Regents adopting the intention to terminate employment of the faculty member at the end of the aforementioned Spring trimester. Failure to request a hearing is a waiver of the right to a hearing. The faculty member may be accompanied by an attorney at the hearing.

For submitting a request for a hearing before the Board of Regents, time is of the essence. For all other events in the procedure for tenure review, time is not of the essence.

Abrogation of Tenure or Termination of Current Appointment

Abrogation of tenure or termination of contract proceedings can occur at any time.

Abrogation of tenure is a process totally separate from the process described in Post-Tenure Review *supra.*, pp. 25-27. Tenure is not license to breach **Faculty Responsibilities and Ethics**. In addition to the formal tenure review process, tenure may be abrogated and appointments may be terminated at a time determined at the discretion of the President of the University for any of the following reasons:

- A. Incompetence, both intentional and unintentional, in normal instructional and other institutional responsibilities as defined in **Faculty Responsibilities and Ethics**. Refusal to teach or inability to teach content of courses as described in the University catalogue is one possible example of incompetence.

- B. Failure to meet normal instructional and other institutional responsibilities as defined in **Faculty Responsibilities and Ethics** (*supra.*, pp. 14-16). As faculty are required to be available five days a week during regular business hours, refusal to teach a course at a time during regular business hours as assigned by the Division Chair, or abuse of sick leave or failure to meet classes according to policies of the University and of the

Oklahoma State Regents for Higher Education, are possible causes for abrogation proceedings.

- C. Conviction of felony.
- D. Attempts to obstruct the legitimate operations of the institution as defined by state law and the Oklahoma State Regents for Higher Education.
- E. Lack of need for the instructor's services and/or financial exigencies. (With respect to financial exigencies, see **Faculty Financial Exigency Policy**, *infra.*, pp. 32-33).
- F. Moral turpitude. Definition of such turpitude should take into account local community standards, professional ethics, and the mores of general American culture. Behavior legitimated by law and by judicial decisions cannot be considered grounds for abrogation of tenure unless it directly results in the causes specified in items A, B, C, D, and E.

Procedure for Abrogation of Tenure or Termination of Current Appointment

Preliminary Proceedings Concerning the Fitness of a Faculty Member -- When reason arises to question the fitness of a faculty member who has tenure or whose term of appointment has not expired, the Division Chair and the Vice President for Academic Affairs shall discuss the matter with the individual in personal conference. If adjustments are required and are satisfactory, the matter may end at that point.

If a satisfactory adjustment does not result, a written statement detailing the grounds proposed for dismissal shall be presented to the faculty member by the President of the University. If the faculty member wishes to dispute the abrogation or the termination, the faculty member may call for a hearing before the Promotion and Tenure Committee. The request for hearing must be in writing to the President of the University within calendar 21 days of receipt of notice of proposed dismissal from the President of the University. The Promotion and Tenure Committee shall conduct the hearing. The Promotion and Tenure Committee shall give notice of the hearing and the faculty member shall be permitted to appear with counsel. Following the hearing, and after considering all matters before it, the Promotion and Tenure Committee shall report its findings to the President of the University expeditiously.

Suspension of the Faculty Member -- Suspension of the faculty member during the proceedings is justified if there is a threat of immediate harm to the individual in question, to other faculty, staff or personnel, to the academic profession, or to the students or if the quality of the performance of the institution is jeopardized by the individual's continuance. The decision to suspend is entrusted to the discretion of the President and is effective immediately. Suspension may be reviewed by the Promotion and Tenure

Committee at the request of the faculty member. The committee must recommend expeditiously to the President that suspension be continued or discontinued. Unless legal considerations forbid, any suspension will be with pay.

Consideration by USAO Regents -- The President of the University shall transmit to the Board of Regents the full report, if any, of the Promotion and Tenure Committee. If the Board of Regents determines its intention to suspend, abrogate, and/or terminate employment of the faculty member, the Board shall give notice to the faculty member. The faculty member may, within 21 calendar days of receiving written notice of the Board's intention to suspend, abrogate, or terminate employment, request a hearing before the Board of Regents. The Board shall schedule a hearing and advise the faculty member of the hearing date.

Termination of employment cannot become effective until one of the following has occurred:

(1) the faculty member fails to request a hearing before the Board of Regents within 21 days following the faculty member's receipt of the Board's notification of intent to suspend, abrogate and/or terminate employment (time is of the essence); (2) the faculty member waives such a hearing; or (3) after conducting the requested hearing, the Board of Regents suspends, abrogates, and/or terminates the employment of the faculty member.

Effect of Abrogation or Termination -- A decision by the Board of Regents to abrogate tenure or a decision to terminate an appointment of a non-tenured faculty member abolishes the employment relationship of the faculty member with USAO. In such case, the faculty member is obligated to vacate any University facilities used by the faculty member and to terminate all campus privileges and duties.

Non-Reappointment

- A. During the term of probationary service (*see p. 23 supra.*), a faculty member on a tenure track appointment shall be notified no later than March 1 before the expiration of the annual contract in the event the faculty member will not be reappointed to the faculty the following year.
- B. Notwithstanding the terms in paragraph A. under **Non-Reappointment**, a faculty member denied tenure at the April meeting of the USAO Board of Regents under **Procedures for Tenure**, *supra.*, will not be reappointed to a faculty position the following academic year.
- C. A full-time faculty member who is not on tenure track may be notified at any time of non-reappointment.

APPENDIX G

GUIDELINES FOR DEVELOPMENT OF TENURE, POST-TENURE REVIEW, AND PROMOTION DOSSIERS

Developed in 1975

Revised in 1977, 1983, 2003, 2012, and 2014

Refer to Section IV of the Faculty Handbook for university policies on tenure, post-tenure review, and promotion. All dossiers must include sections titled “I. General Summary” and “II. Supporting Evidence.” The supporting evidence should only be a compilation of Annual Reports. For tenure or first promotion, Annual Reports need to date back to initial hiring. For subsequent promotions, Annual Reports need to date back to the earliest report that was not included in the previous successful application for promotion or tenure. For post-tenure review, supporting evidence need only include the three most recently completed Annual Reports. A third section titled “III. Other” may be used if there are accomplishments, which do not logically fit in sections I and II as defined below. Section III may also be used to address or to rebut concerns that may have been expressed in Administrative Reviews of submitted Annual Reports.

I. General Summary

- A. The candidate’s own statement regarding accomplishments in teaching, scholarly, creative, and professional development, and service. The summary should be written in prose form, approximately 3-5 (double-spaced, typewritten) pages in length. The summary should refer to Supporting Evidence (Section II) in such a manner that the reviewers will find it easy to assimilate the information provided. The candidate should discuss areas of growth and development demonstrated by the Supporting Evidence.
- B. For tenure and promotion only, three letters of recommendation from peers and a letter from the chair¹ (if applicable) are required.

II. Supporting Evidence

- A. As outlined in Appendix F, all Annual Reviews should discuss
 1. Teaching and Teaching Related Development
 2. Advising and Mentoring
 3. Scholarly, Creative, and Professional Development
 4. Service
 5. Interdisciplinary Studies

¹ The letter from the chair will be added to the dossier by the chair after division ballots have been cast.

Western Oklahoma State College



Excerpt from the Employee Handbook-
6.17 TENURE AND DISMISSAL POLICY

6.17 TENURE AND DISMISSAL POLICY

The Board of Regents for Western Oklahoma State College recognizes the value and need for having a stable and secure teaching faculty and administrative staff. As authorized by state statutes, the Board is required to exercise its duties of trusteeship regarding the selection and retention of employees of the institution it governs. Neither tenure nor continuation of employment are legal rights of employees and are dependent upon Board policies and actions. Tenure is an employment relationship between the College and the faculty member which is solely granted or withheld by the Board of Regents. The procedures listed in this section are the approved steps to be taken in evaluating tenure applicants and forwarding on recommendations for tenure to the Board. The Board of Regents believes that it is in the best interest of the College and all concerned to have clear understandings regarding tenure and dismissal.

6.17.1 Tenure Limitation

It is the policy of the Board that the College should have no more than two-thirds of the total number of full-time faculty holding tenure at any given time.

6.17.2 Minimum Eligibility Guidelines for Faculty Tenure

- A. Generally, faculty hired through funding provided by federal or state grants and faculty hired in a non-tenured track position are not eligible for tenure. The faculty letter of appointment states whether or not the position is a tenured-track position.
- B. All non-tenured faculty who hold full-time, tenured-track positions, as noted in their letter of appointment, and who have completed a minimum of five consecutive years as a full-time faculty member at Western Oklahoma State College, and who hold a minimum of a Master's Degree, are eligible for faculty tenure consideration by the Tenure Committee.
- C. To receive tenure status, a minimum of five consecutive years must have been spent in full-time teaching at Western Oklahoma State College. If a person transfers from an administrative, staff, or other non-faculty position to a faculty position, faculty tenure shall be considered only after completion of five consecutive years of full-time teaching in a faculty position at Western.
- D. Any faculty member who receives tenure and then transfers to an administrative, staff, or other non-faculty position is entitled to retain their faculty tenure status as long as they



Excerpt from the Employee Handbook-
6.17 TENURE AND DISMISSAL POLICY

remain at Western. Because the faculty member has transferred out of a faculty position, his/her tenure does not count against the maximum percentage of tenured faculty allowed by the Board policy; therefore, that tenure slot becomes available to be filled by another eligible faculty member. In the future, if that person returns to a full-time faculty position, his/her tenure would then count against the maximum percentage of tenured faculty allowed by Board policy and would reduce the number of available tenure slots by one. If, after transferring back to faculty status, the total number of tenured faculty exceeds the Board maximum, the tenure will be honored, but faculty tenure will not be considered again until the number of tenured faculty drops below the two-thirds maximum allowed under this provision.

- E. If a tenured faculty member resigns, retires, or is otherwise terminated from Western, he/she must reapply for tenure if he/she returns to become a full-time faculty member in a tenured-track position. In this case, the faculty member does not have to meet the rule of five consecutive years of full-time teaching, but he/she must apply for tenure when a tenured slot is available.

6.17.3 Standards for Receiving and Maintaining a Tenure Appointment

The standards listed below have been established to assist Western Oklahoma State College's Board of Regents as the Board considers eligible faculty for a tenure appointment. The Board will primarily consider two standards for a tenure appointment. The burden of demonstrating that these standards have been met lies with the faculty applicant for tenure.

A. Standard One: Teaching/Performance of Assigned Duties

A faculty member being considered for a tenure appointment must have received an "excellent" rating from his/her supervising Director in the following area:

A record of effectiveness as an instructor including, but not limited to, demonstrated teaching competence and efficiency in a classroom laboratory, and/or clinical setting; the ability to communicate effectively with students and demonstrated skill in handling classroom; and other duties related to teaching. Such a record may include, for example, a showing of the ability to impart knowledge, to excite students' interest in the subject matter, and to evoke response in students.

B. Standard Two: Service



Excerpt from the Employee Handbook-
6.17 TENURE AND DISMISSAL POLICY

In addition to Standard One, a faculty applicant for tenure must have a documented record of service which may include, but not be limited to:

1. Interest and ability in advising students;
2. Membership and participation in professional organizations;
3. Ability to work with faculty and students of Western in the best interest of the academic community and the people it serves, and to the extent that the job performance of the faculty member's administrative unit may not be adversely affected;
4. Serve on college committees;
5. Recognition among colleagues for possessing integrity and the capacity for further significant intellectual and professional achievement; and
6. Recognition and respect outside the Western Oklahoma State College community for participation in activities that use the faculty member's knowledge and expertise or further the mission of the institution, or that provide an opportunity for professional growth through interaction with industry, business, government, and other institutions of our society, within the state, the nation or the world.

6.17.4 Review and Recommendation Procedures for Faculty Tenure

- A. Each fall, the Vice President for Academic Affairs, with advice from the Faculty Senate president, shall appoint a standing faculty tenure committee composed of tenured faculty only. The standing faculty tenure committee will be large enough to represent, as equally as possible, all academic divisions within the college, but there will be no less than six members.
- B. The faculty tenure committee shall accept applications for tenure (from faculty applicants who meet the minimum eligibility criteria) at least once each academic year for a specified time as determined by the committee, but it shall not be less than 14 consecutive days. When tenure applications are to be received, the Tenure Committee shall notify the Faculty Senate President, the Vice President for Academic Affairs, the Division Directors, and all tenure-track faculty with the following information:
 1. The tenure application process is open for qualified applicants.
 2. The deadline for submitting applications.
 3. Information on how to obtain all required materials for tenure application.



Excerpt from the Employee Handbook-
6.17 TENURE AND DISMISSAL POLICY

- C. Within the time specified by the Tenure Committee, eligible faculty who choose to apply for tenure shall submit an application and all required evaluation materials requested by the committee. The tenure candidate should ensure that all requested materials are submitted to the committee. The evaluation materials shall include
 - 1. The faculty member's tenure application;
 - 2. Student evaluations for the three years immediately prior to applying for tenure;
 - 3. Division Directors' evaluations for the three years immediately prior to applying for tenure;
 - 4. A letter of recommendation for tenure from the applicant's Division Director;
 - 5. Other materials as required by the Tenure Committee.

- D. Each member on the tenure committee shall evaluate the application and all materials of each tenure applicant. Following the review and recommendation by the tenure committee, the tenured faculty will vote by secret ballot to determine if a recommendation for granting tenure is forthcoming. The Tenure Committee will tally the ballots. In case two or more applicants have a tie vote, the tie shall be broken by the employment anniversary date as a full-time faculty member at Western. Should a tie still exist, the tie shall be broken by totaling the number of semester credit hours earned in all undergraduate and graduate course work.

- E. The chair of the Tenure Committee will report the results of the vote and recommendations of the committee and forward all application materials of each person on the recommendation list to the Vice President for Academic Affairs.

- F. The Vice President will evaluate the recommendations and forward all application materials, the recommendations of the Tenure Committee, and his/her recommendation to the President.

- G. The President will review all materials and make recommendations for tenure. These recommendations and all materials will be forwarded to the Western Oklahoma State College Board of Regents.

- H. Results of the vote of the Board of Regents will be reported in writing by the President to each tenure candidate within three working days. The decisions and judgment of the Board of Regents in all matters pertaining to the granting of faculty tenure is final.



Excerpt from the Employee Handbook-
6.17 TENURE AND DISMISSAL POLICY

6.17.5 The Right of Appeal of Tenured Faculty

- A. If a faculty member holding tenure receives a notice of a pending dismissal and so desires, he/she may request and shall be accorded a hearing before an ad hoc College Appellate Committee. This committee is not considered a standing committee and members are appointed only as needed. Failure to make a request in writing to the President within 14 days after receipt of notification shall constitute a waiver by such faculty member of his/her right to a hearing before the College Appellate Committee.
- B. The Vice President for Academic Affairs shall appoint members to the College Appellate Committee on tenure and dismissal. The FACULTY SENATE shall give the Vice President for Academic Affairs a list of four tenured faculty members, two of which will be appointed to the committee. The committee shall consist of one member of the Administrative Council, one Division Director, and two tenured instructional faculty members. The chairperson shall be appointed by the Vice President for Academic Affairs.
- C. The College Appellate Committee shall have 30 days from the appeal date to investigate and hold a hearing. The faculty member and the committee may be permitted legal counsel. It is understood that such counsel shall speak only when requested by those they represent and that all proceedings shall be recorded with copies supplied to the appealing faculty member and the committee.
- D. At hearings before the College Appellate Committee, the faculty member will be afforded an opportunity to present a written brief of his/her defense, witnesses, and other documentary evidence in his/her behalf. The faculty member and the Administration will have the right to confront and cross-examine all witnesses called. Deposition may be admissible whenever a witness cannot appear.
- E. Within 15 days after the hearing, the College Appellate Committee will submit its findings and recommendations in an official report to the President of the College. The findings and recommendations of the committee will be based on a majority vote. The chairperson of the committee will have the right to vote.
- F. The faculty member shall have the right to request the Board of Regents of the College to review his/her case based upon the findings and recommendations of the College Appellate Committee and the President. This request shall be in writing and shall state



Excerpt from the Employee Handbook-
6.17 TENURE AND DISMISSAL POLICY

concisely and in summary form the principal points of defense and reasons why a review should be held. The granting of such a review is at the discretion of the Board of Regents and the decision and final judgment of the Board of Regents relating to the recommendation of the President concerning dismissal of a faculty member shall be final for all purposes.