

OSU-CHS Reappointment, Promotion, and Tenure Guidelines

2024 - 2025

**Oklahoma State University
Center for Health Sciences**

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Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of the Oklahoma State University Center for Health Sciences

Preface

The Board of Regents for the Oklahoma State University and Agricultural and Mechanical Colleges (“Board of Regents”) adopts this comprehensive set of policies with the belief that a well-defined statement of rules is essential to support academic freedom and promote excellence at the Oklahoma State University Center for Health Sciences (“OSU-CHS”). Well-designed academic personnel policies ensure that academic quality will be at the heart of academic personnel decisions and serve as the basis for enhancing academic excellence.

It is fundamental that institutions under the governance of the Board of Regents, such as OSU-CHS, use various professional and administrative standards.

Accordingly, it is the policy of the Board of Regents that the activities at these public institutions should be conducted in a manner that will attempt to balance the rights of the individual faculty member with OSU-CHS’s and the public’s legitimate needs and interests. Policy statements of the Board of Regents are to be applied and interpreted in that spirit.

The Board of Regents strongly supports the concept of faculty counsel on matters which affect faculty. The Board of Regents acknowledges that principal stakeholder groups – the Board of Regents itself, administrators, faculty, staff and students – play differing and complementary roles in effective institutional governance. The Board of Regents determines its delegations of powers to stakeholders, starting with the delegated authority required by the president to provide strong and comprehensive leadership for the institution. It is the intention of the Board of Regents that those with the responsibility to act can exercise the legitimate authority to do so in a straightforward and timely way. To ensure this outcome, and in the spirit of clarifying and streamlining shared governance and reducing burdensome aspects for all parties, the Board of Regents’ working guideline on consultation with the faculty delineates three areas of interest. They are: (a) those areas of predominate interest (within Board of Regents-approved institutional mission and strategic direction) where the expertise of the faculty means that in the absence of exceptional circumstances their counsel is sought; (b) those areas of secondary interest where faculty advice may be requested and considered; and (c) those areas where faculty need not to be consulted, but may receive information as important members of the campus community.

This broad policy statement is intended to be stable and a source of reliable information and guidance to faculty, administrators, and external groups. However, in approving this policy statement for OSU-CHS, the Board of Regents is not waiving or restricting its lawful power, duty, and responsibility to act at any future time to establish policies, regulations, and procedures and to implement other decisions of the Board of

Regents. As permanent changes to this policy statement are considered, it is recognized that there is substantial public benefit in consulting with Board of Regents staff, institutional administrators, appropriate faculty, and others before enacting revisions. The Board of Regents expects administrators recommending changes to discuss those proposed revisions to this policy statement with the OSU-CHS Faculty Senate, and others as may be appropriate, before the Board of Regents acts on the proposed revisions.

While the Board of Regents recognizes the value of appropriate participation of faculty, administrators, and others in the formulation of professional standards, policies, and procedures, it also recognizes that extraordinary circumstances may arise where the collective judgment of the Board of Regents requires it to act independently in discharging its responsibility. In such instances, the Board of Regents will make every reasonable effort through the official public record and the institutional administration to inform affected personnel of its actions and invite their input for subsequent consideration.

It is intended that faculty and administrators shall adhere to the standards set forth in this policy statement. It is not intended that minor variances which are not substantially prejudicial to rights of individual faculty members or contrary to the intent of the policy should serve as the sole basis for complaints or claims of erroneous treatment or action. Additionally, it is not intended that these minor variances in circumstances and conditions or events be interpreted as establishing authority to disregard the standards set forth in this policy statement.

References to the entity of the governing Board of Regents in this policy statement may include participation or representation by the Board of Regent's staff so designated or authorized by the Board of Regents. Any use of grammatical gender references shall be interpreted as applying equally to males and females.

This policy statement became effective as of the beginning of the academic year 2013-14 and has been amended by the governing Board of Regents as noted below. This policy statement shall not apply to any pending personnel actions commenced under earlier policies.

Preface and Body Approved by the OSU Board of Regents, December 6, 2013.

Modifications to Body and Appendices Approved by the OSU Board of Regents, September 9, 2022.

Modifications to Body and Appendices Approved by the OSU Board of Regents, June 14, 2024.

OSU-CHS GENERAL PRINCIPLES

An essential measure of excellence of an educational institution is the quality of its faculty. The appointment, promotion, and retention of faculty members will determine how well a college accomplishes its mission and the distinction it achieves. Faculty membership carries with it inherent responsibilities to develop, disseminate and preserve the intellectual growth and professional maturation of students, prepare medical manpower of excellence, provide state-of-the-art health care delivery, and serve the needs of the lay and scientific communities.

The promotion and tenure process needs a great deal of foresight and wisdom, and requires well defined policies and procedures to provide equity, uniformity and efficiency. Faculty members should recognize that they bear an important obligation that transcends the mere technical details of procedural policies. The intent of these policies, broadly interpreted, is to attract highly-qualified candidates to the faculty, to develop and reward scholars who demonstrate a commitment to the advancement and communication of knowledge, to recognize faculty members who show promise of pursuing productive academic careers, and to retain faculty members who are a credit to the institution.

Sound, clearly stated, and sufficiently flexible policies and procedures governing appointments, tenure, promotion, and related matters are vital to the effective performance of faculty members and administrators.¹ These standards are to be implemented in a reasonable manner.² In implementation of the standards in this policy statement, the President of OSU- CHS is authorized to decide procedural questions on uncertain points. Prior to making such decisions the President of OSU-CHS may consult with the chairperson of the OSU-CHS Faculty Senate, the Board of Regents Office of Legal Counsel, or others.

The opportunity for faculty members to participate in efforts to improve policies is critical. The Faculty Senate shall be consulted in the process of reviewing suggestions for improvements in this policy statement. Recommendations for improvements made

¹ A copy of all present and future implementing OSU-CHS Policies which relate to matters dealt with in this policy statement shall be authorized by the President of OSU-CHS and be on file and available to faculty members in the main library at OSU-CHS, Tulsa and OSU-COM-CN, and in the office of every academic department or similar unit within OSU-CHS. Throughout this document, the phrase "this policy statement" refers to "Policy Statement to Govern Appointments, Tenure Promotions, and Related Matters of the Faculty of the Oklahoma State University Center for Health Sciences." All documents generated by the appropriate administrative staff to aid in the implementation of these policies should be consistent with the standards in this policy statement. If there are any inconsistencies between the documents generated by administrative staff and declarations in this policy statement, the standards in this policy statement shall be the controlling OSU-CHS policy.

² Whether implementation of standards is "reasonable" is inherently a judgment based on prevailing circumstances, known facts and rational conclusions. As used in this policy statement, the determination of whether a matter is "reasonable" is to be based on (a) an evaluation of known facts, (b) utilization of applicable procedures and professional standards, (c) consideration of prudent public institutional interests, and (d) the exercise of sound judgment.

by the Faculty Senate shall be transmitted to the President of OSU-CHS. Any change(s) in this policy statement must be approved by the governing Board of Regents.

This policy is applicable to faculty members of OSU-CHS.

1. **Professional Standards and Matters of Academic Appointment Administration.**
- 1.1 **Professional Standards.**
- 1.1.1 **Qualifications.** The diversity of OSU-CHS activity requires that detailed academic qualification standards for each rank, function, or specialty be specified by the appropriate unit administrator.³ In those cases in which work assignments vary greatly within a given unit or are split between units it will be necessary to specify qualifications for individual positions. In establishing these qualification standards the unit administrator shall obtain appropriate faculty counsel.⁴ When approved by the Provost, a copy of the standards shall be given to each faculty member and such standards shall be applied by all administrative units involved until duly amended.
- 1.1.2 **Job Description and Terms and Conditions of Employment.** It is the policy of OSU-CHS that each faculty member's job description and the applicable standards, criteria, and procedures used in making decisions relating to renewal, tenure, and promotion should be available to the faculty member in written form. These items are provided to a faculty member in the form of the initial memorandum of understanding, written policy and procedure statements of the unit and OSU-CHS, and formal appraisal and development statements.
- 1.1.3 **Professional Ethics.** Members of the faculty have the responsibility to follow the Board of Regents approved policies on Ethics and Non-Retaliation, as well as institutional policy on

³ The term "unit administrator", as used throughout this policy statement, refers to those individuals holding the title of department head, department chair, or any similar position at OSU-CHS.

⁴ Depending on the OSU-CHS organizational structure, "appropriate faculty counsel," "advice of the faculty," and "faculty consultation" referred to throughout this policy statement shall involve obtaining input from (a) the entire departmental faculty; or (b) members of a special or permanent committee selected by procedures which have been approved by a majority of the faculty of the administrative unit involved, submitted to the President of OSU-CHS for approval and retention in a permanent file; or where necessary (c) duly elected members of boards, senates, or councils at the departmental, Center or other levels. Whenever deemed necessary this counsel may seek external assistance to aid evaluation. In formulating input the faculty or its committees shall have the prerogative to meet in the absence of the unit administrator.

outside activities⁵, to avoid conflicts of interest prohibited by Oklahoma statutes, and, particularly, to develop and maintain student/teacher relationships which are healthy, honorable, and beneficial to students in the pursuit of legitimate educational objectives. Members of the faculty must not exploit students for their private advantage.

The faculty of OSU-CHS endorses the American Association of University Professors' 2009 Statement on Professional Ethics (Appendix A). Throughout governance and due processes outlined in this Policy Statement, committee members, unit administrators, deans, and others must be able to freely discuss personnel related issues in an open and honest manner and without fear of repercussion, retaliation, or negative impact on their professional relationships with colleagues. As such, all discussions and/or votes of individual committee members shall remain confidential.

1.1.4 Academic Freedom. OSU-CHS endorses the general statement on academic freedom, as it applies to state universities and medical schools, which are embodied in "Academic Freedom and Tenure (1940 Statement of Principles)"⁶ and in the 1999 statement on "Academic Freedom in the Medical School"⁷ as drafted by the Association of American Colleges and the American Association of University Professors. (Appendix B)

1.1.5 Review of Faculty.

1.1.5.1 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. If the faculty member, after due notice, fails to submit documentation, the unit administrator may conduct the review from available information. Unit administrators are expected to encourage the professional development of each faculty member. Unit administrators shall familiarize each faculty member with the applicable reappointment, promotion, and tenure guidelines established by the faculty members of the unit. The unit administrator shall endeavor to provide an environment conducive to the achievement of expected performance. The unit administrator shall submit a written evaluation that gives detailed descriptions of the faculty member's accomplishments or deficiencies. The faculty member's written

⁵ Oklahoma A&M Board of Regents Policy Manual 3.05; Oklahoma A&M Board of Regents Policy Manual 3.06; OSU-CHS Conflict of Interest Policy 9-70003

⁶ <https://www.aaup.org/report/1940-statement-principles-academic-freedom-and-tenure>

⁷ <https://www.aaup.org/sites/default/files/academic-freedom-medical-school.pdf>

report, together 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 committee evaluation, particularly evaluations at the times of reappointment, tenure and promotion. If a major element of performance is judged to be unsatisfactory by the unit administrator, the following steps shall be taken:

- (a) A detailed written plan for corrective action shall be specified by the unit administrator.
- (b) If requested by the faculty member, the unit administrator shall obtain appropriate faculty counsel to determine whether the appraisal is justified, and if so, what measures to improve performance are warranted. If the judgment of unsatisfactory performance is not supported by the faculty group, the matter shall be forwarded to the Provost for resolution.

1.1.5.2 Cumulative Review of Tenured Faculty. 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. If the faculty member, after due notice, fails to submit documentation, the unit administrator may conduct the review from available information. 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 and must include a statement as to whether the faculty member's overall performance during the review period is deemed "satisfactory" or "unsatisfactory". The cumulative review requires individual development plans for each faculty member. Faculty members are responsible for their own development consistent with unit and OSU-CHS goals. Any formal development plan should respect academic freedom and professional self-direction, and it should be flexible enough to allow for subsequent alteration.

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 this Policy Statement.

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, they may request a review of the matter utilizing the Dispute Resolution Procedure set forth in this Policy Statement (Appendix C).

1.2 Recommendations for Faculty Appointments, Reappointments, Non-reappointments, and Promotions. A prerequisite of a strong faculty is an active involvement in decisions affecting its own membership. This is critical in appointments to and separations from the faculty.

1.2.1 Tenured and Tenure Track Faculty.

1.2.1.1 It shall be the personal responsibility of the faculty member to demonstrate that they meet the applicable qualifications for reappointment, tenure, or promotion.

1.2.1.2 Appropriate unit administrators are charged with the responsibility for recommending appointments, reappointments, non-reappointments, and promotions. The unit administrator shall obtain appropriate faculty counsel before making recommendations.

1.2.1.3 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.

1.2.1.4 All recommendations generated by the unit personnel committee ("UPC")⁸ and by the unit administrator shall be available to the

⁸ Unit Personnel Committee ("UPC"). At the Unit level, the body designated by the faculty within a department to provide appropriate faculty counsel on personnel matters shall be referred to in this policy statement as the UPC. The responsibility of the UPC is to recommend whether or not the candidate has met each of the applicable criteria and qualifications for the personnel action being considered. The composition of the UPC shall be a minimum of 3 voting faculty members at the same rank as, or above, that being sought by the candidate.

i. If candidate is tenure-track then the UPC must be comprised of tenured faculty.

ii. If candidate is non-tenure-track then the UPC may be comprised of either non-tenured or tenured faculty.

Provost for consideration and action. Final institutional review of personnel actions may be conducted by the President of OSU-CHS and the President of the OSU System. Appointments, reappointments, promotions, and terminations must be approved by the governing Board of Regents except as authorized by Board of Regents policies.

1.2.2 Non-Tenure Track Faculty.

1.2.2.1 It shall be the personal responsibility of the faculty member to demonstrate that they meet the applicable qualifications for reappointment or promotion.

1.2.2.2 Appropriate unit administrators are charged with the responsibility for recommending appointments, reappointments, non-reappointments, and promotions.

1.2.2.3 For reappointment decisions, the unit administrator shall conduct a brief review of the faculty member's performance throughout the current contract period. If the review is satisfactory, the unit administrator may make a record for reappointment without seeking appropriate faculty counsel. If the unit administrator finds that the performance was not satisfactory, and is considering non-reappointment, the unit administrator must obtain appropriate faculty counsel in accordance with 1.2.2.4.

1.2.2.4 For appointment, non-reappointments, and promotions, the unit administrator shall obtain appropriate faculty counsel before making recommendations.

1.2.2.5 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.

1.2.2.6 All recommendations generated by the UPC and by the unit administrator shall be available to the Provost for consideration and action. Final institutional review of personnel actions may be conducted by the President of OSU-CHS and the President of the OSU System. Appointments, reappointments, promotions, and terminations must be approved by the governing Board of Regents except as authorized by Board of Regents policies.

1.3 Process for Appointment and Assignment of Tenure-Track and Non-Tenure Track Faculty.

iii.If the unit does not have enough qualified members to create a UPC, then the Provost, with the input of the Unit Administrator, may designate an appropriate UPC.

iv.If the unit has not otherwise designated a UPC, the Provost shall help select an appropriate UPC.

1.3.1 Appointment to Faculty Positions. The unit administrator has the principal responsibility for initiating all authorized faculty appointments (see Section 1.2.2.2). The unit administrator with the advice of faculty shall carry out this responsibility by:

- (a) filing a “Request to Staff Form”;
- (b) searching for and obtaining information about prospective candidates;
- (c) evaluating candidates; and
- (d) recommending suitable, qualified individuals for appointments, with supporting evidence concerning the candidate’s qualifications.

1.3.2 Memorandum of Understanding. A statement of the proposed basic terms and conditions of every appointment shall be available in writing and be in the possession of both OSU-CHS and the prospective faculty member before the appointment is made. Where applicable, this statement will make reference to the substantive and procedural standards generally used in the decisions affecting renewal and tenure and any special standards adopted by the appropriate unit. Any other authorized agreements pertaining to conditions of appointment, reappointment, promotion, and tenure shall be part of this written statement.

No offer is binding on OSU-CHS until a formal recommendation has been presented to and officially approved by the governing Board of Regents in accord with its policies.

1.3.3 Amendments. If changes in assignment or conditions of appointment (other than revisions to fringe benefits, retirement plans, and this policy statement) become necessary during the period of appointment, the changes must be discussed in advance, normally during the annual appraisal and development process and communicated to the affected faculty member in writing by the unit administrator. Unresolved disputes regarding changes in assignments or conditions of appointment are resolved by the Dispute Resolution Procedure set forth in this Policy Statement (Appendix C).

1.4 Appointment and Tenure for Tenure-Track Faculty.

1.4.1 Appointment. All tenure-track faculty positions shall be filled by appointments of qualified persons with the rank of Instructor, Assistant Professor, Associate Professor, or Professor. The initial

appointment of any person to the rank of Instructor or above shall be based on a search which is consistent with applicable state and federal equal employment opportunity standards. National searches will be conducted unless an exemption is authorized by the Provost and the office of Equal Opportunity. All initial appointments to the rank of Instructor or above are of two kinds:

- (a) tenure-track (appointments potentially leading to tenure); or
- (b) appointments with tenure (applicable only to appointments with the initial ranks of Associate Professor or Professor if specifically approved by the Board of Regents).

Appendix D: Appendix D: Reappointment, Promotion and Tenure Process for Tenure-Track Faculty (Derived from OSU Policy and Procedures Letter No. 2-0902)

- 1.4.2 Tenure.** Tenure is a continuous appointment granted following evaluation by the faculty member's academic department, review by appropriate administrators, and approval by the Board of Regents. Tenured appointments shall not be terminated except under extraordinary conditions stated in Section 1.13.

Tenure is a means by which to ensure academic freedom (see Section 1.1.4). Academic freedom is indispensable to the success of OSU-CHS in fulfilling its obligations to its students, to the State of Oklahoma, and to society in general. The decision to grant tenure is a judgment made with appropriate faculty counsel. Except for prestigious scholars initially appointed as Associate Professor or Professor with tenure, the decision to grant tenure is normally made toward the end of a probationary period. 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.

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 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) the period of probation for tenure consideration shall never exceed a total of seven years of continuous appointment with OSU-CHS.

Review for the granting of tenure shall occur only at the following

times:

- (a) when a prestigious scholar is initially considered for appointment to the rank of Associate Professor or Professor;
- (b) when a tenure-track faculty member is reviewed for promotion to the rank of Associate Professor or Professor;
- (c) when a tenure-track faculty member is reviewed for a reappointment or promotion which, if awarded, will extend the number of years in a tenure-track faculty position at OSU-CHS beyond a total of seven years; or
- (d) when a person has completed at least one year of satisfactory service at OSU-CHS following an initial appointment as a tenure-track Associate Professor or Professor.

1.4.3 Appointment to the rank of Instructor shall normally be for one year at a time during the probationary period but shall not exceed three years. Individuals who have been appointed as Instructors for their sixth year of probationary service shall be evaluated for tenure and informed in writing by June 30 of the sixth year of either:

- (a) reappointment at the rank of Instructor with tenure effective at the beginning of the seventh year;
- (b) promotion to Assistant Professor with tenure effective on July 1 of that year; or
- (c) the expiration and nonrenewal of the appointment effective at the end of the seventh academic year.

If a tenure-track Instructor is promoted to a higher rank, the period of probation for tenure shall commence with the beginning of the initial appointment as an Instructor, unless the faculty member requests and is granted an extension of the probationary period (see Section 1.4.8). The initial term of appointment as Assistant Professor will vary depending on the number of years served as an Instructor:

- (a) with five years as an Instructor, promotion would result in a two-year appointment as Assistant Professor;
- (b) with four years, the appointment to Assistant Professor

would be for three years;

- (c) with three years, the appointment would be for four years;
- (d) 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.
- (e) If an Instructor is promoted to Assistant Professor after only one year, an initial four-year appointment as Assistant Professor can be followed by a second probationary term of two years.

In all cases described above, 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.

- 1.4.4 Initial appointment to the rank of Assistant Professor** shall normally be for a period of four years. Reappointment for a three-year period may be made. Promotion to Associate Professor or reappointment as an Assistant Professor after seven years of probationary service as an Assistant Professor shall confer tenure.
- 1.4.5 Initial appointment to the rank of Associate Professor** shall normally⁹ be for a period of five years. Reappointment as Associate Professor or promotion to Professor shall confer tenure. A special tenure review may be made after one year of service at OSU-CHS (see Section 1.4.2). In extraordinary circumstances tenure may be expressly granted at the time of initial appointment.
- 1.4.6 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.
- 1.4.7 Effect of Change in Position.** Academic tenure is not affected by change to administrative or other active status. Appointment to an administrative or other position shall not confer tenure in that position.
- 1.4.8 Extension of Probationary Period.** A period of appointment and the probationary period of a faculty member may be extended up

⁹ For faculty whose initial term of appointment begins at other than the beginning of the academic year, the period of appointment shall be adjusted to expire at the end of an academic year to be consistent with the provisions of Section 1.4.2 paragraph 3. Thus, the term of the first probationary appointment may vary from the stated period in Section 1.4.4 and 1.4.5.

to three years for extenuating circumstances, e.g., a leave of absence without pay, an 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 such an extension may be granted upon approval by the Provost of OSU-CHS.

1.5 Appointment of Non-Tenure Track Faculty.

1.5.1 Adjunct Appointments and Titles. Professional persons who are affiliated with OSU-CHS may be granted appointments as Adjunct Professor, Adjunct Associate Professor, Adjunct Assistant Professor, or Adjunct Instructor. Such appointments do not require a national search and are recommended by the unit administrator.

1.5.2 Non-Tenure Track.

1.5.2.1 Clinical Faculty. Clinical faculty appointments are annual, renewable term, non-tenure track appointments at the rank of Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor. Clinical appointments are intended to offer a career pathway to individuals who have clinical experience, teaching experience, and/or other expert qualifications. The positions will be used to support and enhance training programs and initiatives at OSU-CHS. Such appointments would normally require a national search and are recommended by the Unit Administrator after obtaining appropriate faculty counsel. All clinical faculty will be expected to provide teaching, clinical supervision/teaching, and/or clinical care as assigned by the unit administrator and for which the clinical faculty member is qualified to perform. The sources of funding are dependent on respective departmental resources. Notwithstanding the appointment periods, the existence of any clinical faculty position is contingent upon availability of funding.

Appendix E: Clinical Faculty Basic Standards for Appointment and Promotion further addresses the clinical track faculty process.

1.5.2.2 Temporary Faculty Appointments and Titles. In response to short-term and/or emergency needs OSU-CHS may make temporary appointments. When such appointments are made, the titles of Lecturer, Research Professional, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor, Scholar, Artist, or "Professional" In Residence, etc. shall be used. Appropriate search procedures should be used prior to making such appointments but may vary depending upon the nature of the position. Unit administrators, after receiving appropriate faculty

counsel, shall be responsible for recommending appointments to temporary positions.

When persons are appointed to temporary faculty positions, the period of appointment shall be clearly stated and should be designated as temporary on the Employment Action Form. The memorandum of understanding will state that the appointment will not lead to tenure nor count as part of a probationary period potentially leading to tenure at OSU-CHS.

In those few instances in which OSU-CHS is confronted with an emergency situation in the areas of research, extension, or instruction, a person can be appointed on a temporary basis for a term not to exceed one year even though all of the recruitment procedures normally followed in making such an appointment may not have been met. In such cases, the administrative unit shall implement normal recruitment procedures to fill the position at the end of the initial temporary appointment. When temporary appointments are made, the memorandum of understanding should specify the term of appointment and state the conditions relating to reappointment. Persons holding temporary positions may not be awarded tenure and do not have OSU-CHS faculty voting privileges but may be awarded other professional rights and privileges afforded the faculty.

The titles described in this section are important to OSU-CHS in its management of the fluctuating demands of programs. Tenured and tenure-track faculty may be released from assigned duties as grants and contracts are obtained. To facilitate this process, the unit administrator may request authorization to establish and fill temporary positions with persons awarded one of the following titles. They may also request variations from the specific conditions and terms of appointment for persons appointed to one of the titles in this section. When determined to be in the best interest of OSU-CHS, the Provost may approve such variations in specific individual cases. Notwithstanding the appointment period, the existence of any of the following positions is contingent upon availability of funding.

1.5.2.3 Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor. These titles shall be used for persons employed to meet short-term teaching, research, or extension needs. They may also be used for scholars with a terminal degree who wish to affiliate with OSU-CHS for professional development. Limited search procedures are usually adequate when appointment to any of these positions is made. The terms of appointment shall normally be for one year and may be renewed after receiving appropriate faculty counsel. Should such an

individual be appointed to a tenure-track position following an appropriately approved search, the time spent in the temporary position shall not count as part of the probationary tenure consideration period, unless specified in the memorandum of understanding for the permanent position.

1.5.2.4 Research Faculty. Research professorships are annual, renewable term, non-tenure track appointments at the rank of Research Assistant Professor, Research Associate Professor, and Research Professor. These positions will be used to support and enhance research programs and initiatives and create research activities at OSU-CHS. These individuals will be expected to develop independent research programs and serve as principal investigators on proposals to external agencies. In hiring into the research professor track, OSU-CHS looks to attract high quality researchers who hold promise to become engaged in academic and scholarly activities including but not limited to performing collaborative research with academic faculty; supervising undergraduate or graduate research; serving on departmental or college committees; and organizing, attending, and presenting at professional conferences and seminars. The primary assignment will be research, and these individuals will not serve as primary Instructors in regular course offerings of departments or degree programs. Instructional activities will be limited to offerings specific to their research expertise and supervision of graduate students as provided for by membership in the Graduate Faculty. The salaries and fringe benefits for research professors are to be paid by external grants and sponsored programs. The existence of research professor positions is contingent upon availability of funding.

Continued employment of a research professor during the term of appointment will depend on the availability of external funding. If reappointment is desired, an application for reappointment is required prior to the end of the contract period. Reappointment is contingent upon satisfactory performance as determined through performance appraisal and the availability of external grant funds and/or bridge funds.

Research Assistant Professors and Research Associate Professors will be eligible to seek promotion to Research Associate Professor and Research Professor, respectively, after five years of service in rank according to guidelines for promotion developed by the sponsoring academic unit(s).

Should such an individual be appointed to a tenure-track position following an appropriately approved search, the time spent in the research position shall not count as part of the probationary tenure

consideration period, unless specified in the memorandum of understanding for the permanent position.

1.6 Promotions in Rank.

- 1.6.1 Tenure Track Faculty.** The process of review for promotion in rank shall be initiated by the unit administrator or by the UPC. Prior to the initiation of the review, the consent of the faculty member shall be obtained. Faculty members should be provided sufficient notice to enable them to assemble and submit materials believed helpful to a full review. Individual faculty members have the right to be reviewed for promotion at their own request provided they have not undergone such a review within the previous two academic years. Appendix D addresses detailed guidelines for the evaluation of tenure-track faculty through annual evaluation, reappointment, promotion, and tenure.

Following consideration of appropriate faculty counsel, the unit administrator will decide whether a faculty member is to be recommended for promotion by the unit. This decision should be in keeping with the established qualification guidelines of the unit. The faculty member shall be informed by the unit administrator if a recommendation for promotion is not being sent forward and shall be provided counsel by the unit administrator regarding how they might meet criteria for promotion in a subsequent consideration.

The Provost and President of OSU-CHS shall review each promotion recommended by the unit administrator. The Provost's recommendation to the President of OSU-CHS will be accompanied by the original recommendations of the unit administrator and the counsel of the unit's appropriate faculty personnel committee. In the process of review, the Provost and the President of OSU-CHS may seek counsel from suitable faculty committees. Copies of any written counsel provided by faculty committees will become part of the faculty member's documentation file. If the recommendation of the Provost and/or President of OSU-CHS differs from that of the unit administrator, the reasons shall be specified in writing and provided to the faculty member.

Changes in academic title or promotion of persons holding temporary titles (see Section 1.5.2.2) to tenure-track faculty positions (Instructor or above) is permitted only under extraordinary circumstances. (Persons holding temporary titles may, however, apply for advertised tenure-track positions.) Before any such promotions are recommended by the President of OSU-CHS, they should seek appropriate faculty counsel from the

Reappointment, Promotion, and Tenure (“RPT”) Committee of the OSU-CHS Faculty Senate.

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

1.6.2 Non-Tenure Track Faculty. The process of review for promotion in rank shall be initiated by the unit administrator or by the UPC. Prior to the initiation of the review, the consent of the faculty member shall be obtained. Faculty members should be provided sufficient notice to enable them to assemble and submit materials believed helpful to a full review. Individual faculty members have the right to be reviewed for promotion at their own request provided they have not undergone such a review within the previous two academic years. Appendix E addresses detailed guidelines for the evaluation of non-tenure track faculty through annual evaluation, reappointment/non-reappointment and promotion. Following consideration of appropriate faculty counsel, the unit administrator will decide whether a faculty member is to be recommended for promotion by the unit. This decision should be in keeping with the established qualification guidelines of the unit. The faculty member shall be informed by the unit administrator if a recommendation for promotion is not being sent forward and shall be provided counsel by the unit administrator regarding how they might meet criteria for promotion in a subsequent consideration.

The Provost and President of OSU-CHS shall review each promotion recommended by the unit administrator. The Provost’s recommendation to the President of OSU-CHS will be accompanied by the original recommendations of the unit administrator and the counsel of the unit’s appropriate faculty personnel committee. In the process of review, the Provost and the President of OSU-CHS may seek counsel from suitable faculty committees. Copies of any written counsel provided by faculty committees will become part of the faculty member’s documentation file. If the recommendation of the Provost and/or President of OSU-CHS differs from that of the unit administrator, the reasons shall be specified in writing and provided to the faculty member.

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

1.7 Reappointment and Non-reappointment.

1.7.1 Tenure Track Faculty. Recommendations to reappoint or not to reappoint shall originate with the unit administrator after obtaining appropriate faculty counsel (see Section 1.2). Normally, such recommendation shall be in response to a routine notice from the office of the Provost of OSU-CHS. A tenure track faculty member being considered for reappointment or non-reappointment shall be provided sufficient notice to assemble and submit materials believed helpful to a full consideration of the question.

Recommendations for both reappointment and non-reappointment of faculty members are forwarded to the Provost for review and action. Following review, all recommendations, accompanied by a statement of approval or disapproval, are forwarded to the President of OSU-CHS for action. In the process of review, the Provost and President of OSU-CHS may seek counsel from the RPT Committee of the OSU-CHS Faculty Senate. Copies of the written counsel provided by the RPT Committee of the OSU-CHS Faculty Senate should accompany recommendations to the President of OSU-CHS.

The affected faculty member shall be informed by the Provost that (a) a recommendation for reappointment will be presented by the President of the OSU System to the Board of Regents, or (b) OSU-CHS does not intend to continue the appointment beyond a specified date.

1.7.2 Non-Tenure Track Faculty.

1.7.2.1 Reappointment. Appropriate unit administrators are charged with the responsibility for recommending reappointments of non-tenure track faculty members. Normally, such recommendation shall be in response to a routine notice from the office of the Provost of OSU-CHS.

For reappointment decisions, the unit administrator shall conduct a

brief review of the faculty member's performance throughout the current contract period. If the review is satisfactory, the unit administrator may make a recommendation for reappointment without seeking appropriate faculty counsel.

1.7.2.2 Personnel Action Process. All recommendations generated by the UPC and by the unit administrator shall be available to the Provost for consideration and action. Final institutional review of personnel actions may be conducted by the President of OSU-CHS and the President of the OSU System. Appointments, reappointments, promotions, and terminations must be approved by the governing Board of Regents except as authorized by Board of Regents policies.

1.7.2.3 Non-reappointment. Non-reappointment of a nontenured appointment shall not be regarded as a termination. If a decision is made not to recommend reappointment of a faculty member, the following schedule for notification should be observed:

- (a) For clinical faculty on one-year of service or less, notice shall be given not later than March 1 of the first academic year of service, if the appointment expires at the end of the academic year, or, if an initial one-year appointment expires during an academic year, at least three months in advance of its expiration.
- (b) For clinical faculty with more than one year of service, notice shall be given at least 12 months before the expiration of an appointment. For example, if an appointment period is from July 1 – June 30, and notice of non-reappointment is given on January 1, then the end of the appointment would be December 31, which is twelve months after the notification of non-reappointment.

Non-reappointed individuals shall have the option to obtain the reasons for nonrenewal in a confidential form of their choosing. If the affected faculty member believes that the reasons for nonrenewal are based on unlawful discrimination or inadequate consideration, or legitimate exercise of academic freedom, they may request a focused review of the matter utilizing the Dispute Resolution Procedure set forth in this Policy Statement (Appendix C). A focused review only considers the matters raised by the affected faculty member in their request for review.

- (a) **Focused Review.** Insofar as the affected faculty member asserts in writing that the decision against reappointment by the appropriate administrator was

based on inadequate consideration, the functions of the dispute resolution committee which reviews the faculty member's assertion should be the following: (a) to determine whether the decision of the appropriate faculty body and the decisions of the appropriate administrators were the result of adequate consideration in terms of the relevant standards of the institution, with the understanding that the review committee should not substitute its judgment on the merits for that of the academic department; (b) to request reconsideration by the faculty bodies and/or administrators when the committee believes that adequate consideration was not given to the faculty member's qualifications (in such instances, the committee should indicate the respects in which it believes the consideration may have been inadequate).

1.8 Honorary Appointments and Titles. The following list of titles and appointments, while complete as of the present time, may be expanded or altered from time to time as conditions require.

1.8.1 Regents Professor. This honorary title may be awarded to professors who have made outstanding contributions in their discipline through resident teaching, research or other scholarly activities, and/or extension or outreach activities at OSU-CHS or while serving as a professorial faculty member at another similar institution. Persons appointed with this title should be recognized on campus and at the national level for past and continuing scholarly accomplishments. Evidence of accomplishments may be their record of publication in nationally recognized journals or as authors of monographs, scholarly books and/or textbooks, creative activities, or outstanding performance as classroom teachers. Teaching excellence must be documented by their unit administrators, peers and students or indicated by previous teaching awards granted by student or faculty groups.

A nomination for appointment as Regents Professor may be proposed by any tenured member of OSU-CHS with the nomination seconded by another tenured member of the faculty. The nomination packet will be sent to the Provost, who will forward it to the President of OSU-CHS. When it is determined that the packet is complete, the packet will be forwarded for evaluation to the academic unit in which the nominee holds tenure. Separate letters evaluating the nominee's qualifications for the rank of Regents Professor will be prepared by the unit's promotion and tenure committee, the unit administrator, and the Provost. The Provost will forward the packet to the Regents Professor

Selection Committee. After consideration by both the Provost and the Committee, a recommendation will be sent to the President of OSU-CHS for decision and action. The appointment will be effective July 1 following formal approval by the President of the OSU System and the Board of Regents.

1.8.2 Regents Service Professor. Appointment to this title may be made for administrators who have rendered distinguished service to OSU-CHS and desire to be relieved of administrative duties and return to resident instruction, extension, or research positions. Recommendations shall be made by the Provost to the President of OSU-CHS. Appointment shall be for a period of four years and is not subject to renewal.

1.8.3 Endowed or Supported Chairs or Professorships. After receiving appropriate faculty counsel, the unit administrator may recommend that a person be appointed to an endowed or supported position in recognition for past and continuing scholarly accomplishments in the appropriate discipline. Persons holding endowed positions will be subject to the rules and procedures governing other faculty members of the same rank.

1.8.4 Emeritus Faculty. Upon retirement, faculty members shall carry as emeritus the rank and title they were holding when retired, retain all professional rights, and be accorded privileges specifically authorized by the Board of Regents.

1.9 Faculty Leaves.

1.9.1 Health Leave. Faculty members will occasionally be unable to perform regular duties due to personal illness, disability, maternity, paternity, or illness in their immediate families, referred to as “qualified conditions.” The faculty members or someone representing them is responsible for notifying the unit administrator of qualified conditions affecting their work commitment. In order to accommodate the faculty member’s leave requirements, OSU-CHS has instituted flexible Faculty Sick Leave, 2-70113, and Family and Medical Leave Act, 3-70708, policies.

1.9.2 Sabbatical Leave. Upon recommendation of the Dean to the Provost and approval by the President and the Board of Regents, OSU-CHS may periodically grant leave to faculty members for study, research, or other activities directed toward professional growth. The OSU-CHS faculty member is entitled to apply for sabbatical leave from regular, scheduled duties for the purpose of professional development. Members of the faculty may apply for a maximum leave of one academic appointment period, not to exceed 12 months, at a reduced salary or a maximum leave of

one-half the academic appointment period, not to exceed six months, at full salary. Under exceptional circumstances, a sabbatical leave may be broken into segments separated by periods of regular, scheduled duty. Medical and life insurance benefits, contributions to TIAA, and other employee retirement system contributions will continue at the full employment rate. Faculty members on or returning from sabbatical leaves will participate in raise programs according OSU-CHS and departmental criteria and shall not be penalized for being on sabbatical leave during the evaluation period.

Conditions of approval shall be consistent with appropriate budgetary and other faculty arrangements so as not to disrupt the teaching programs or other vital operations of the department, college, or OSU-CHS. Requests for sabbatical leave shall be submitted to the Provost through the appropriate unit administrator and Dean.

To be eligible to apply for leave, the candidate must have served as a faculty member for no less than six academic years since initial appointment or since a previous sabbatical leave. Sabbatical leave obligates the recipient to follow a program consistent with the purpose and conditions for which the leave was granted. Acceptance by the faculty member of sabbatical leave entails an obligation to serve OSU-CHS for one subsequent academic appointment period, or refund to OSU-CHS the salary and benefits earned while on leave. A faculty member on sabbatical leave may accept a fellowship, personal grant-in-aid, or government-sponsored exchange lectureship for the period covered by the leave, if such acceptance promotes the accomplishment of the purpose of the leave.

- 1.9.3 Leave of Absence Without Pay.** Upon recommendation of the Dean and approval by the Provost, a faculty member may be granted a leave of absence without pay for such period of time and conditions as stipulated. This is subject to applicable policies on participation in partisan political campaigns as well.

A request for leave without pay should be made as early as possible, preferably at least six months in advance, and shall normally not exceed one year in duration.

- 1.10 Resignations.** Resignations are initiated by the faculty member and are not revocable without approval by the unit administrator, Dean and Provost.

- 1.11 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 OSU-CHS 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 use OSU-CHS facilities or resources and may be imposed during the course of an authorized termination 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.

1.11.1 Procedures for Suspensions. Supervisory academic administrators¹⁰ 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 OSU-CHS are threatened.

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

Formal Dispute Resolution Procedures outlined in Section 2 and Appendix C do not apply to suspension actions unless the suspension lasts more than six months or the Provost finds it would be in the best interest of OSU-CHS to provide extraordinary administrative due process.

1.12 Disciplinary Actions. The faculty is subject to laws, policies, rules, regulations, and procedural requirements which safeguard its functions, and which concurrently protect its rights and freedoms. Violations may result in actions by OSU-CHS ranging from simple admonitions to permanent termination.

1.12.1 General Procedures for Imposition of Disciplinary Actions. Normally, unit administrators will initiate a performance or conduct inquiry based on observation or an oral or written complaint. Other supervisory academic administrators may also be authorized by the Provost to make appropriate conduct investigations and initiate appropriate disciplinary action based on oral or written complaints. Results of such inquiries should be submitted to the Provost in writing with the signature of the investigating administrator and the

¹⁰ As used in this policy statement, "supervisory academic administrators" shall include unit administrators, the Dean, university-level administrators with faculty rank, and the Provost.

date of submission. The findings of such an inquiry may lead to authorized disciplinary actions.

Authorized disciplinary actions include admonitions, sanctions, and terminations. Because these three types of disciplinary actions have significantly different impacts on the career of a faculty member, the procedures for providing adequate administrative due process necessarily differ.

- 1.12.2 Admonitions.** Admonitions are intended to inform faculty members that others find their performance or professional conduct to be unsatisfactory and/or inappropriate. Admonitions may be issued orally or in writing and include administrative advice, warnings, or reproofs. Written records of admonitions are not included in a faculty member's personnel file unless a pattern develops, in which case the individual involved will be notified in writing. Anecdotal notes of administrative actions may be maintained by administrators separate from individual personnel files. Faculty counsel is not required prior to issuing admonitions. Administrative appeal of admonitions is not provided.
- 1.12.3 Sanctions.** Sanctions are formal actions taken to prevent damage to the legitimate interests of OSU-CHS and its components and/or recurrence of unsatisfactory performance or unprofessional conduct. Sanctions may include such measures as written reprimands, required participation in counseling and/or corrective programs, and restrictions on use of OSU-CHS privileges, resources, and services. Sanctions are to be imposed when, in the judgment of the unit administrator or other supervisory academic administrators, admonitions will not adequately serve to prevent damage to OSU-CHS or recurrence of unsatisfactory or unprofessional performance or conduct.
- 1.12.3.1 Procedures for Imposing Sanctions.** Sanctions are normally directed by unit administrators. When deemed appropriate by the Provost, other supervisory academic administrators may be authorized to conduct investigations and direct sanctions. The investigating administrator shall provide the faculty member with notice that an investigation will occur, which notice will include a general description of the alleged complaint(s) or deficiencies. The investigating administrator may seek faculty counsel as deemed necessary during the process of conducting the inquiry and in considering appropriate sanctions. The investigating administrator will meet with the faculty member as part of the investigation. The investigating administrator shall provide the faculty member with a written summary of their investigative findings and notice of any proposed sanction(s) to be imposed and should describe corrective actions on the part of the faculty

member which could lead to removal of the sanction(s). Following receipt of the written notice of proposed sanction(s), the faculty member shall have seven calendar days to respond in writing to the investigating administrator. The investigating administrator shall then have seven calendar days to issue a final written notice of sanction, which shall include a statement of procedures for appeal, review, modification, and removal of the sanction.

1.12.3.2 Appeal of Sanctions. Upon receipt of the final written notice from the investigating administrator informing the faculty member of the sanction(s), the faculty member shall have seven calendar days during which to file a written appeal of the decision with the Provost. Appropriate bases for appeal are:

- (a) lack of reasonable cause for the sanction;
- (b) substantial failure to follow proper procedures for imposing sanctions; and
- (c) inappropriateness of the sanction(s) imposed.

The appeal should clearly state the basis for the appeal and the relief sought, and should include all the information the faculty member believes is pertinent to the appeal. If the Provost finds that there is an insufficient statement of the basis for the appeal, the Provost shall inform the faculty member and their unit administrator that the appeal has been denied. If the Provost finds there is a sufficient statement of the basis for the appeal, the Provost will designate themselves or another senior supervisory academic administrator to serve as an appeal review administrator whose responsibility it shall be to thoroughly review the matter, confer with appropriate parties, and make a final determination regarding the sanction. The appeal review administrator may seek additional faculty counsel from Faculty Senate. The appeal review administrator shall determine whether the sanction should be sustained, modified, or completely removed.

Pending completion of an authorized appeal, a sanction shall not be enforced, but the Provost may relieve the faculty member of all or part of his or her duties if such is deemed essential to the protection of OSU-CHS or its components (see Section 1.11 Administrative Suspensions). Relieving a faculty member of his or her duties during an authorized appeal shall be without any reduction in pay or other benefits. The appeal review administrator will complete the review and reach a decision within fourteen calendar days of appointment as the review administrator. The appeal review administrator shall communicate the determination to the Provost, if a different appeal review administrator was

appointed, who shall inform the faculty member and the unit administrator of the final decision. If the decision is to remove the sanction completely, the Provost shall expunge the record of the sanction and notify the faculty member in writing. The faculty member may place the notice in their file.

Formal Dispute Resolution Procedures outlined in Section 2 and Appendix C do not apply to formal administrative sanction actions unless the Provost (or the President if the sanction was initiated by the Provost) finds it would be in the best interest of OSU-CHS to provide extraordinary administrative due process.

- 1.12.3.3 Application for Transfer of Sanction Records (Tenured Faculty Only).** Records of sanction actions shall be retained in the faculty member's active personnel files unless transfer of such records is authorized. Tenured faculty members may request that such records be transferred from active personnel files to an inactive, privileged-access file to be sealed and retained by the Office of the Provost. Action on such an application is discretionary with the unit administrator. If requested, the Dean or Provost may be involved in the decision for transfer of files. If the request is granted, a record of the transfer should be retained in the personnel file.

All requests for access to the privileged-access file shall be adjudged by the Provost. Prior to implementation of a decision, the Provost shall inform the affected faculty member.

- 1.13 Termination of Appointments.** Terminations are revocations of tenured appointments or nontenured appointments before the end of the appointment period. Nonrenewal or non-reappointment of a temporary or non-tenure track appointment shall not be regarded as a termination. Terminations may be affected by OSU-CHS only for reasonable cause as set forth in Section 1.13.1, 1.13.2, or 1.14.2. OSU-CHS recognizes those general fairness principles expressed by the American Association of University Professors¹¹ provided the same are consistent with this policy statement. The President is authorized to decide procedural questions on uncertain points.

- 1.13.1 Termination under Financial Exigency.** Termination of appointment may be based on genuine financial exigency. Procedures to be used during a state of financial exigency are set forth in Appendix H.

¹¹The relevant principles of the American Association of University Professors are included in the [AAUP Policy Documents and Reports](#), 1990 edition.

1.13.2 Termination or Reassignment Associated with Department or Program Discontinuance Not Mandated by Financial Exigency. Any time an academic program or department is discontinued or transferred to another department, college, or OSU campus, not mandated by financial exigency, adequate safeguards for faculty members shall be provided, as described below. Early and meaningful faculty involvement in decisions regarding program discontinuance or transfer shall be provided. Rights under academic tenure shall be protected in a manner consistent with the provisions of this policy statement.

1.13.2.1 Reassignment. Every equitable effort shall be made to assist each faculty member to relocate to a suitable professional position within OSU-CHS in the event of program discontinuance. In such relocation other employees will not be displaced. Reassignments should occur over an equitable period of time and with adequate notice. In most cases, at least six months' notice shall be provided before any faculty member is reassigned. Nontenured faculty members should be given at least the notice that is specified in Section 1.13.3. If at all feasible, the individuals involved should be given even more liberal notice. All qualified, tenured faculty members to be reassigned may be offered opportunities to upgrade their expertise or change their specialties as they and the appropriate senior supervisory administrator(s) see fit. If faculty members do not wish to accept the provision of the reassignment, they may submit a dispute resolution petition as specified in Section 2 and Appendix C.

1.13.2.2 Termination for Discontinuance of Program. Termination of appointments of faculty members associated with the discontinuance of programs shall be recommended only after the procedures described above have failed to produce a reassignment. If the faculty member so requests, the proposed termination shall be reviewed by a Termination Hearing Committee (see Appendix G) before a recommendation for termination is made by the President of OSU-CHS to the Board of Regents. When a recommendation to terminate is to be made to the Board of Regents, the recommendations of the RPT Committee shall be forwarded with the recommendation of the President of OSU-CHS. If terminated in association with program discontinuance, the faculty member should be given appropriate notice or paid severance salary (see Section 1.13.3).

Individuals who have received notice of termination shall have the option to obtain the reasons for termination in a confidential form of their choosing. If the affected faculty member believes the reasons for termination are based on unlawful discrimination,

inadequate consideration, or legitimate exercise of academic freedom, the faculty member may request a limited review of the matter utilizing the Dispute Resolution Procedure (see Section 2 and Appendix C).

Faculty members who have been given such notice of termination shall be permitted to resign in lieu of termination.

1.13.3 Terminal Notice or Salary.

(a) If an appointment is terminated for departmental or program discontinuances or institutional financial exigency the faculty member shall receive notice in accordance with the following schedule:

- (i) at least three months, for the first year of service; or
- (ii) at least twelve months for all other faculty.

If notice falls short of these specified amounts, then the faculty member should receive salary and benefits such that the months of notice and salary and benefits total three months for faculty as described in (i) and twelve months for all other faculty (ii).

(b) In terminations for other causes, salary and benefits shall not continue for more than one month after the termination becomes effective unless special recommendations to this effect are made by the hearing committee or the President of OSU-CHS and approved by the Board of Regents.

1.14 Terminations.

1.14.1 Terminations are permanent separation from employment for disciplinary reasons by OSU-CHS, or resulting from the discontinuance of a program. Such action for disciplinary reasons is the most severe form of discipline and is to be recommended only when other disciplinary action is administratively judged unlikely to:

- (a) restore the fitness of faculty members to perform their professional responsibilities; or
- (b) adequately protect OSU-CHS or its components from serious harm.

Termination or threat of termination shall not be used to restrain faculty members in their legitimate exercise of academic freedom.

1.14.2 Grounds for Termination for Disciplinary Reasons.

Terminations for disciplinary reasons 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. Termination proceedings may be initiated for reasons such as:

- (a) incompetence in performing or in meeting appropriately assigned responsibilities;
- (b) neglect of duty as indicated by failure or continued failure to sufficiently perform in accordance with applicable terms and conditions of employment;
- (c) serious and apparently intentional misuse OSU-CHS property and resources;
- (d) academic dishonesty;
- (e) deliberate and grave violation of the rights or freedoms of fellow faculty members, administrators, or students;
- (f) willful obstruction or disruption or attempts to obstruct or disrupt the normal operation or functions of OSU-CHS; or advising, or procuring, or actively encouraging others to do so; or
- (g) 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
- (h) other improper conduct which is seriously injurious to the best interests of OSU-CHS or its components.

1.14.3 Termination Procedures. Procedures to be followed in cases of termination are presented in Appendix G.

1.14.3.1 Dismissal Procedures for Title IX Hearing Cases. If dismissal is sought based upon the outcome of a Title IX hearing, as provided under the Title IX regulations codified at 34 CFR Part 106 ("Regulations"), the processes set forth in Appendix G will be used only to review the outcome of the Title IX Hearing and appropriateness of termination as a sanction and will not be utilized to reinvestigate or hear the underlying facts resulting in the Title IX Hearing outcome. In addition, the standard of evidence required for dismissal shall be the standard set forth in the OSU-

CHS Title IX policy. In the event the Regulations are revoked, stayed by a court of competent jurisdiction, or are substantially altered and OSU-CHS no longer follows the provisions set forth therein for investigating and adjudicating Title IX cases, this provision will not apply.

2. Dispute Resolution Policy.

2.1 Policy Statement. It is the policy of OSU-CHS that all full-time and part-time members of the OSU-CHS faculty, including those holding non tenure-track appointments, may petition for review of certain personal employment concerns defined in this document.

Persons holding a joint appointment (i.e., faculty and staff or administration combination) shall use the dispute resolution procedure germane to the nature of the dispute; e.g., if the dispute is relevant to one's work assignment as a member of the faculty, the faculty dispute resolution procedure shall be utilized.

2.2 Definition. A qualified employment dispute is a faculty member's timely written objection to matters related to particular working conditions, but normally excluding suspensions, sanctions, terminations, or actions taken as a result of financial exigency.

2.3 Grounds for Dispute. A "petition for resolution of dispute" may be filed after informal consultation with appropriate administrators has failed to resolve a faculty member's concerns. Faculty members cannot file disputes against other faculty members. The dispute must address an administrator's failure to act on or address a faculty member's concerns. Some issues, including sexual discrimination or discrimination against a protected class, may be violations of law and should be immediately referred to the appropriate department and not be part of a dispute hearing. With this exception, a "petition for resolution of dispute" should be initiated for cases where the faculty member is being treated in a manner different than their peers, and inconsistent with the terms and conditions of their employment. The issue must be tangible and the faculty member must provide both evidence of the disputed issue and a potential resolution of the dispute. Examples include:

- (a) disregard on the part of the unit administrator or other member(s) of the administration of complaints relating to the terms and conditions of the appointment;
- (b) an unreasonable compensation over a prolonged period of time (two years or more);
- (c) unreasonable denial of promotion;

- (d) unreasonable denial of leave;
- (e) unreasonable denial of reappointment;
- (f) unreasonable workload or physical working conditions;
- (g) unreasonable denial of access to OSU-CHS resources necessary for the faculty member's compliance with the basic terms and conditions of the appointment;
- (h) unacceptable reassignment growing directly out of actions specified in Section 1.13;
- (i) changes in assignment or conditions of employment if unrelated to sanctions or medical leave; and/or
- (j) suspension for more than six months;

For a dispute that does not fit the specific examples above, the faculty member should bring the dispute to the President of Faculty Senate. The President may seek counsel from the Faculty Senate Executive Committee, the Provost, and other OSU-CHS employees with knowledge of the issue. The President, at their discretion, will authorize the dispute, deny the dispute or refer the dispute to resolution by procedures set forth in Appendix C.

Faculty members who believe they have a qualified employment dispute that warrants filing a petition will be expected to have thoroughly discussed their complaint with their unit administrator, dean, and other appropriate administrators. Policies and procedures for resolution of disputes are set forth in Appendix C.

2.4 Title IX/Equal Opportunity. Title IX of the Education Amendments and OSU-CHS policy prohibit discrimination in the provision of services or benefits offered by OSU-CHS based on gender. Any person (student, faculty, or staff) who believes that discriminatory practices have been engaged in based on gender may discuss their concerns and file informal or formal complaints of possible violations of Title IX with the Director of Human Resources and/or the OSU Title IX Coordinator. The Director of Human Resources is also specifically authorized to deal with complaints concerning sexual harassment or gender discrimination. (See OSU-CHS Policy and Procedures 1-70703 for details.) Complaints related to discrimination based on race, color, religion, sex, sexual orientation, gender identity, national origin, disability, age, or protected veteran status will also be handled by the Director of Equal Opportunity.

2.5 Formal Dispute Resolution Procedures. Faculty members who believe they have a qualified employment dispute that warrants filing a petition will be expected to have thoroughly discussed their complaint with their unit administrator, dean, and other appropriate administrators. Policies and procedures for resolution of disputes are set forth in Appendix C.

Appendix A: Statement on Professional Ethics

The statement that follows was originally adopted in 1966. Revisions were made and approved by the American Association of University Professors' Council in 1987 and 2009.

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution.

When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

Appendix B: Academic Freedom

The 1940 Statement of Principles as drafted by the Association of American Colleges and the American Association of University Professors follows:

1. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
2. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to the subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of appointment.
3. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they do not speak for the institution.

The statement regarding Academic Freedom in Medical Schools was adopted by the AAUP Council in 1999, as follows:

1. *Freedom to Inquire and to Publish.* The freedom to pursue research and the correlative right to transmit the fruits of inquiry to the wider community—without limitations from corporate or political interests and without prior restraint or fear of subsequent punishment—are essential to the advancement of knowledge. Accordingly, principles of academic freedom allow professors to publish or otherwise disseminate research findings that may offend the commercial sponsors of the research, potential donors, or political interests, or people with certain religious or social persuasions. As stated in a 1981 AAUP report, however, “Academic freedom does not give its possessors the right to impose any risk of harm they like in the name of freedom of inquiry. It is no violation of any right . . . that falls into the cluster named by ‘academic freedom’ for a university to prevent a member of its faculty from carrying out research, at the university, that would impose a high risk of serious physical harm on its subjects, and that would in only minimal ways benefit either them or the state of knowledge in the field in question.” The pursuit of medical

research should proceed with due regard for the rights of individuals as provided by National Institutes of Health and university protocols on the use of human and animal subjects. Any research plan involving such matters should be reviewed by a body of faculty peers or an institutional review board both before research is initiated and while it is being conducted. Any limitations on academic freedom because of the religious or other aims of an institution should be clearly stated in writing at the time of initial appointment.

2. *Freedom to Teach.* The freedom to teach includes the right of the faculty to select the materials, determine the approach to the subject, make the assignments, and assess student academic performance in teaching activities for which faculty members are individually responsible, without having their decisions subject to the veto of a Unit Administrator, dean, or other administrative officer. Teaching duties in medical schools that are commonly shared among a number of faculty members require a significant amount of coordination and the imposition of a certain degree of structure, and often involve a need for agreement on such matters as general course content, syllabi, and examinations. Often, under these circumstances, the decisions of the group may prevail over the dissenting position of a particular individual. When faculty members are engaged in patient care, they have a special obligation to respect the rights of their patients and to exercise appropriate discretion while on rounds or in other nonclassroom settings.
3. *Freedom to Question and to Criticize.* According to a 1994 AAUP statement, *On the Relationship of Faculty Governance to Academic Freedom*, faculty members should be free to speak out “on matters having to do with their institution and its policies,” and they should be able “to express their professional opinions without fear of reprisal.” In speaking critically, faculty members should strive for accuracy and should exercise appropriate restraint. Tolerance of criticism, however, is a crucial component of the academic environment and of an institution’s ultimate vitality. No attribute of the modern medical school that may distinguish it from other units within a university should serve as a pretext for abridging the role of the medical faculty in institutional governance, including, but not necessarily confined to, those areas specified in the AAUP’s 1966 *Statement on Government of Colleges and Universities* as falling within the faculty’s primary responsibility.

Appendix C: Dispute Resolution Procedures

Faculty members who believe they have a qualified employment dispute that warrants filing a petition under provision 1.7.2.3 or 2.0 of this policy statement will be expected to have already discussed their objection with their unit administrator and other appropriate administrators.

- 1. Filing of Dispute Resolution Petition.** Faculty members who feel that they have a qualified employment dispute may submit a petition to the President of the OSU-CHS Faculty Senate for examination of their objection. The petition shall set forth in detail the nature of the objection, the specific grounds for the objection, as set forth at 1.7.2.3 or 2.3, and the specific remedial action or relief sought and identify the specific administrator(s) who should respond to the petition (the respondent(s)). It shall contain all pertinent facts and/or opinions, any circumstantial evidence which the petitioner deems pertinent to the case, and a brief summary of the results of previous discussions on the issues involved.

Objections related to specific personnel action(s) must be presented to the President of the OSU-CHS Faculty Senate within sixty calendar days of the date when the faculty member was formally notified of the action(s).

- 2. Initial Review and Recommendations.** Upon receipt of a faculty member's petition for resolution of a dispute, the President of the OSU-CHS Faculty Senate shall refer the petition to the Promotion and Tenure Resolution Committee, who shall be selected utilizing the procedures set forth in the OSU-CHS Faculty Senate Bylaws.
- 3. Promotion and Tenure Resolution Committee Chairperson.** The chairperson of the Promotion and Tenure Resolution Committee shall be selected using the procedures set forth in the OSU-CHS Faculty Senate Bylaws. The chairperson shall provide committee members with a copy of the petition filed by the faculty member and schedule the first meeting of the committee either in person or virtually within ten working days of receipt of the petition.
- 4. Dispute Resolution Consultant.** At any step in the dispute resolution procedures, the President of the OSU-CHS Faculty Senate, if not serving as the chairperson of the Promotion and Tenure Resolution Committee--and/or the OSU-CHS Director of Human Resources, if discrimination is alleged--may be requested by any of the parties to the dispute, or by the committee to serve as a consultant in an advisory capacity without the power of decision in the disputed matter. Additional consultation and advice on special issues or rules of procedure may be provided to the

committee by an available attorney from the Board of Regents Office of Legal Counsel and/or a faculty member chosen by the chairperson of the Promotion and Tenure Resolution Committee from those with experience on past dispute resolution panels or some other specialized issue. Written functional guidelines for Promotion and Tenure Resolution Committees issued by the President of OSU-CHS should be followed. These functional guidelines are available upon request at the Board of Regents Office of Legal Counsel.

- 5. Responsibilities for Serving on Promotion and Tenure Resolution Committee.** Members of the committee shall serve the best interests of OSU-CHS, and act as neutral examiners of issues presented. Members shall avoid external discussions of the dispute with parties to the dispute resolution process and others.

All members selected shall be expected to serve on the committee except in cases of illness, necessary absence from the campus, service on a termination hearing committee or Promotion and Tenure Resolution Committee in the current or immediately preceding academic year, conflict of interest or bias related to the dispute at issue, or other extreme hardship. The President of the OSU-CHS Faculty Senate shall decide whether a selected committee member should be excused from service upon their request and may replace such a member by the same procedure used for the original selection as detailed in the OSU-CHS Faculty Senate Bylaws. Once the Promotion and Tenure Resolution Committee is established, the committee shall serve through the final conclusion of the matter for which it was formed.

- 6. Hearings Procedures.** The following procedures and guidelines should be followed during the hearings.

- 6.1** The Promotion and Tenure Resolution Committee shall normally hold its first session within ten working days after it has been formed by the action of the President of the OSU-CHS Faculty Senate. This session shall be held without the parties to the dispute. During this meeting, the chairperson shall charge the committee with their duties, set expectations for the hearings to be held, and the committee should review the petition.

- 6.2** The committee shall then hold a joint prehearing meeting(s) with the parties, within fifteen working days of the committee's initial meeting, to:

- (a) simplify the issues;
- (b) effect stipulations of undisputed material facts or witness statements;
- (c) provide for the exchange of documentary evidence or other

information;

- (d) question committee members to determine if disqualifying bias exists; and
- (e) achieve such other appropriate prehearing objectives as will make the formal hearing fair, effective, and expeditious.

6.3 The Promotion and Tenure Resolution Committee, through its chairperson, shall require from the parties involved that they submit to the committee and exchange with the other party(s), through the chairperson, within three working days following the conclusion of the first session:

- (a) a list of witnesses whom they wish to present;
- (b) a written exposition of all relevant facts and/or opinions, as well as circumstantial evidence; and
- (c) documents which they deem pertinent to the case.

6.4 Two confidential tape recordings of the dispute resolution hearing shall be made by a recorder designated for the proceedings by the chairperson of the committee. The copies of the taped recording will be accessible to the principal parties involved, the committee, the President of OSU-CHS, the President of the OSU System, the Board of Regents, and authorized representatives on a “need to know” basis.

Either party to the dispute may request that the committee endeavor to provide a complete or partial typed transcript of the testimony. The cost of preparation of such a transcript shall be paid by the party making the request. Other involved parties may obtain a duplicate copy by paying the current fees for copying.

6.5 Length of hearing sessions will be established in advance; every reasonable effort should be made to conduct the hearing(s) as expeditiously as possible, with equal fairness to both parties.

6.6 The faculty member, having initiated the dispute resolution action, must establish by a quality of proof that is clear and convincing that the requested remedial action is justified and called for under the prevailing circumstances. The faculty member shall present his or her case first, with the affected administrator(s) following.

6.7 Both parties shall be permitted during the course of the hearing(s) to introduce additional documents and present witnesses not on their original lists, subject to reasonable notice to the other party, and the consent of the Promotion and Tenure Resolution Committee.

- 6.8** The Promotion and Tenure Resolution Committee may call witnesses of its own to the hearing and request documents not otherwise introduced by either of the parties.
- 6.9** In cooperation with the chair of the committee the respective parties are responsible for arranging the presence of their own witnesses and will schedule them for appearance as close to the time of call as possible.
- 6.10** OSU-CHS shall provide appropriate facilities, assistance, equipment, and support to the committee and shall assist the Promotion and Tenure Resolution Committee in obtaining the cooperation of witnesses and making available non-confidential documentary and other evidence. The personnel records of the petitioning faculty member shall be accessible to the parties, Promotion and Tenure Resolution Committee review authorities and their representatives.
- 6.11** The parties shall be permitted to utilize legal counsel who shall be allowed to participate indirectly in all appropriate portions of the hearings. The dispute committee shall consider such counsel's statements on procedural matters and may receive the opinion of its own counsel. Counsel will not question witnesses or make opening or closing statements.
- 6.12** The Promotion and Tenure Resolution Committee shall not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in evaluating the issues involved. Every reasonable effort shall be made to obtain the most reliable evidence available.
- 6.13** The committee report's findings of fact and any recommendations shall be based solely on relevant evidence contained in the hearing record and reasonable inferences drawn therefrom.
- 6.14** Except for such simple announcements as may be required, covering the time of hearing and similar matters, public statements and publicity about the case by either the faculty member, affected administrators(s), or their representatives shall be avoided so far as possible until the proceedings have been completed, including the submission of the advisory report of the Promotion and Tenure Resolution Committee to the OSU-CHS Faculty Senate while in executive session, the petitioning faculty member, and the respondent administrator(s).
- 6.15** The hearings of the Promotion and Tenure Resolution Committee shall normally be completed within forty-five working days (based on the academic calendar) of the formation of the Promotion and Tenure Resolution Committee. The report of the Promotion and Tenure Resolution Committee shall normally be completed within fifteen working

days after the conclusion of all hearings. In any case in which the committee deems this time schedule to be inadequate, the chairman of the Promotion and Tenure Resolution Committee shall notify the principal parties involved in writing of the amended time schedule.

7. The Report of the Promotion and Tenure Resolution Committee.

7.1 In preparing its report, the Promotion and Tenure Resolution Committee shall specifically cite the information upon which its advisory conclusions were based.

The written report shall contain:

- (a) a statement of the purpose of the hearing(s);
- (b) issues considered;
- (c) findings of fact; and
- (d) relevant advisory recommendations.

7.2 The Promotion and Tenure Resolution Committee shall submit its report via the President of the OSU-CHS Faculty Senate to the parties involved in the dispute, and

- (a) If the dispute is directed against a unit administrator the report of the Promotion and Tenure Resolution Committee shall be submitted to the Provost. If the Provost concurs with the report of the committee, the case will be resolved by the Provost through the implementation of the committee's recommendations.

If the Provost disagrees with the report of the committee, the Provost shall return the report to the committee with the specific concerns stated in writing.

The committee will then reconsider the case, taking into account the Provost's concerns and reviewing new evidence with the parties if necessary and practical. If the positions of both the Provost and the Promotion and Tenure Resolution Committee cannot be reconciled, the report of the committee and the Provost's written objections to the committee's report shall be forwarded to the President of OSU-CHS for a decision and action.

- (b) If the faculty member's petition is directed against the Provost or against the Provost and another administrator, and/or a unit administrator, the Promotion and Tenure Resolution Committee report shall be submitted to the President of OSU-CHS for

decision and action.

If the President of OSU-CHS concurs with the report of the committee, the case will be resolved by implementation of its recommendations. If the President of OSU-CHS disagrees with the report of the committee, the President of OSU-CHS will return it to the committee with specific written concerns.

The committee will then reconsider the case, taking into account the concerns of the President of OSU-CHS and reviewing new evidence with the parties if necessary and practical. If the positions of the President of OSU-CHS and the Promotion and Tenure Resolution Committee cannot be resolved, the decisions of the President of OSU-CHS will stand, unless the faculty member appeals the decision to the Board of Regents, bearing in mind that access to the Board of Regent's appellate procedure is not automatically granted and that the procedure may be revised by action of the Board of Regents.¹²

A copy of the procedures for appeal to the Board of Regents is available on request from the Board of Regents Chief Executive Officer or Legal Counsel at the Board of Regent's Office, located in the Student Union of Oklahoma State University in Stillwater. The hearing of appeals is mandatory only in cases involving termination of tenured professors. Appeals arising from other categories may be allowable at the direction of the Board of Regents.

At each step in this process the administrator or committee involved should normally complete its responsibility within ten working days (based on the academic calendar).

¹² Oklahoma A&M Board of Regents Policy 1.16 "The hearing of appeals is mandatory only in cases involving termination of tenured professors. Appeals arising from other categories may be allowable at the discretion of the Board."

Appendix D: Reappointment, Promotion and Tenure Process for Tenure-Track Faculty (Derived from OSU Policy and Procedures Letter No. 2-0902)

PURPOSE

The purpose of this policy and procedure is to provide guidelines for the evaluation of tenure-track 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. 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 OSU-CHS 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.

Promotion in Academic Rank. Initial academic rank is based on evidence that the faculty member has met the qualifications for the rank to which they are 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 scholarly 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 OSU-CHS 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 promotion to Assistant Professor, (2) the indices and standards that will be used to determine whether candidates meet the requirements for tenure and promotion to Associate Professor, (3) the indices and standards that will be used to determine whether candidates meet requirements for promotion to Professor, and (4) the goals and expectations to be used in evaluating faculty performance in annual appraisal and developments. The academic unit standards must delineate the tangible evidence that the faculty member must provide to document, not simply the attainment of minimal accomplishments, but an appropriate record of sustained excellence.

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 the annual appraisal and development reviews which are signed by the faculty member and administrative head.

The academic unit standards serve as the basis for the evaluation of the faculty member's dossier at all levels of review. The academic 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 Provost, and the President of OSU-CHS.

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 the highest academic 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 memorandum of understanding, 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 they are an accomplished teacher, where teaching is an assigned responsibility, and that they have a significant record of scholarly research, artistic and/or creative work, teaching, outreach/extension and service in keeping with the academic unit, college, and university standards and their 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 their 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 their field. Professional colleagues, both within

the university and nationally, recognize the professor for their 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 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 they are 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 the Oklahoma State University Center for Health Sciences* (hereafter referred to as the *Policy Statement*) states that tenure, a means to assure academic freedom, is indispensable to the success of OSU-CHS 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 OSU-CHS's expectation that the faculty member will (1) consistently contribute to the instructional, research/creative work and/or outreach/extension mission of OSU-CHS; (2) remain current and intellectually curious; and (3) continue to be a wise investment for OSU-CHS. 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 OSU-CHS and the OSU-CHS RPT Committee 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 their unit. In this process, the candidate, UPC, unit administrator, the RPT Committee of the OSU-CHS Faculty Senate, the Provost and the President of OSU-CHS 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. 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. If the faculty member, after due notice, fails to submit documentation, the unit administrator may proceed with available information.

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 they are 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 they have met all applicable criteria and qualifications.

Unit Personnel Committee. The responsibility of the UPC 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 UPC 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. A minimum of 3 voting faculty members are required to be at the same rank as, or above, that being sought by the candidate (i.e., If candidate is tenure-track then the UPC must be comprised of tenured faculty).
- 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, the unit administrator and Provost will convene to determine the UPC.
- 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. Faculty members applying for reappointment, promotion or tenure may not serve on a UPC in the year of their application.
- f. The following administrators cannot serve on the UPC: President, Provost, or Dean.
- g. All voting members of the UPC are required to sign the UPC recommendation letter to the unit administrator.

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.

They assist the candidate in constructing the documentation file and make a final assessment of the candidate after they have received the recommendation of the UPC. They have 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 their professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure and shall forward all materials to the Provost.

OSU-CHS Reappointment, Promotion, and Tenure Committee (“OSU-CHS RPT Committee”): The college-level committee is responsible for providing the Provost with a professional opinion about the qualifications of the candidate for appointment, reappointment, promotion, or tenure. The OSU-CHS RPT Committee examines the documentation provided by the faculty member, the standards that have been adopted by the department, and the Statements of Recommendation, defined infra, provided by the UPC and the unit administrator for fairness in procedure and review at the departmental level and for consistency within OSU-CHS.

The OSU-CHS RPT Committee will then provide a written recommendation to the Provost that indicates whether the personnel action being considered is supported. The OSU-CHS RPT Committee may also be charged with including in its 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 OSU-CHS RPT Committee, both majority and minority opinions shall be indicated within a single recommendation letter. Guidelines for the OSU-CHS RPT Committee will follow the structure outlined by the OSU-CHS Bylaws.

Provost: The Provost has several vital responsibilities both prior to and during the evaluation process. They work 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 OSU-CHS. They provide 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 President of OSU-CHS.

Upon receiving recommendations from departments, the Provost, with input from the OSU-CHS RPT Committee, shall carefully review the candidate's documentation file, including the recommendations of the UPC and unit administrator. They 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 Provost's recommendation letter shall reflect their 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 President of OSU-CHS as part of their Statement of Recommendation.

President of OSU-CHS: The President of OSU-CHS is responsible for examining the files and Statements of Recommendation written by all involved groups and administrators. The President of OSU-CHS may seek additional counsel from the OSU-CHS Faculty Senate and others as deemed appropriate. It is the responsibility of the President of OSU-CHS to be certain that all applicable standards and policies that have been approved by OSU-CHS have been applied fairly to each individual. Additionally, the recommendation of the President of OSU-CHS shall reflect their professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure and will be submitted to the President of the OSU System for recommendation to the Board of Regents.

REAPPOINTMENT, PROMOTION AND TENURE PROCESS

Prior to the beginning of the RPT process, it is recommended that faculty members, unit administrators, members of UPCs 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 1.4, 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-CHS 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, the Provost receives a memorandum from the President of OSU-CHS 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 President of OSU-CHS's memorandum and departmental report is shared with the unit administrator.

Informational notification is also sent by the President of OSU-CHS to each faculty member identified on the report, with a statement notifying the faculty member that their name has been sent to the Provost and unit administrator and encouraging the faculty member to contact the unit administrator to verify that action will be taken as scheduled. Faculty will also be encouraged to review the *Policy Statement* of the Faculty Handbook. 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 12-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 OSU-CHS, 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.* Tenure-track faculty are initially appointed to the rank of Instructor for no longer than a 3-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-CHS.

When an Instructor is reviewed in their 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 (effective at the start of next academic year after approval by the Board of Regents) 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-CHS 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 prior to the normal timeline 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 maintain confidence in the Departmental Faculty Reappointment and Tenure Report, it is the responsibility of the Provost and unit administrator to examine the departmental reports for completeness and accuracy. The Provost 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 Provost's office. Corrected reports are submitted in the Spring to the President of OSU-CHS when all RPT actions for the college are delivered by the

Provost.

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.

The OSU-CHS Reappointment, Promotion/Tenure Recommendations Form, "Development of the RPT Documentation File," included herein, ("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-CHS 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 memorandum of understanding, position announcement and/or description.
 2. A statement describing the work assignment within OSU-CHS (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 Provost, the Provost's written resolution of the appeal should be included.
 4. The unit administrator should provide written statements, if any, documenting either special achievements or deficiencies

related to the proposed personnel action.

5. Records of sabbatical or other periods of leave (not to include annual leave) should be included by the unit administrator.

6. 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.

7. 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 clearly specify the relationship of each external reviewer to the candidate and should contain a brief description of each external reviewer and their 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 OSU-CHS 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 UPC 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 they specify valid personal or professional reasons for the exclusion.

External review letters will be used by departmental personnel committees, unit administrators, the Provost, and other OSU-CHS administrators for personnel decisions such as reappointment, 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 allow sufficient time to gather outside peer review letters so 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 Waiver of Right to Inspect and Review Confidential Letters of Recommendation, attached to 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 as appropriate to the work assignment are to be provided by faculty members being considered for promotion and/or tenure.
- d. With the exception of peer review letters which the faculty member has waived their 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 they 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 they have 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 UPC, unit administrator, the OSU-CHS RPT Committee, and Provost *are not* included in the file at this point in the process.

Adding Additional Materials to Documentation File

b. Appraisal and development (A&D) materials can be added to/deleted from the documentation file until the UPC 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.

c. A&D 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 UPC 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. Documentation of accomplishments achieved after the application submission deadline can be applied to the following promotion review.

d. After the Statement of Recommendation is formulated by the UPC and recorded, the only documentation that may be added, except as noted in 2.3.d and 2.3.e, to a candidate's RPT packet are the Statements of Recommendation from the UPC, the unit administrator, the OSU-CHS RPT Committee, and the Provost.

e. The candidate will be provided one opportunity to respond to a negative Statement of Recommendation and to have that response added to their RPT packet. The candidate will have five working days following receipt of the *first* Statement noting denial of the proposed action to formulate a response no longer than 1,000 words. The candidate will submit their 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 Provost's office within five 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 their department head informed of their whereabouts during this critical review process.

- f. 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 UPC, 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.

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 UPC or a special or permanent committee of faculty for the academic unit involved reviews 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 UPC 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 UPC chair or an appropriately elected representative of the faculty will record the committee's recommendation on the RPT Summary of Recommendations form, along with their signature.

A copy of the UPC'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.

b. *Unit Administrator Review.* The unit administrator's Statement of Recommendation to the Provost 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 OSU-CHS RPT Committee and the Provost.

If the faculty member being reviewed for promotion and/or tenure also holds the position of unit administrator, it will be necessary for the Provost 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 their recommended action with their 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 Provost 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 which provided the counsel.

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

The unit administrator then transmits the documentation file to the Provost.

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 Provost for evaluation and further transmittal to the President of OSU-CHS 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 UPC recommend against the proposed action, that individual's documentation file will not be forwarded to the Provost for further consideration unless the candidate requests otherwise. However, if the unit administrator and the UPC do not agree on a recommendation, the documentation file will be forwarded to the Provost for evaluation and further transmittal to the President of OSU-CHS.
3. At any point in the process, a candidate for promotion may elect by written request to withdraw their name from further consideration.
4. It is the policy of the OSU-CHS 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. Unit administrators with candidates who wish to be reconsidered earlier must demonstrate to the Provost that the candidate has made substantial accomplishments since the last consideration before the review process is initiated. After review by the Provost and consultation with the President of OSU-CHS, the unit administrator 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 to the Provost with a DRAFT copy of the non-reappointment letter.

On or About February 15 - March 14

d. OSU-CHS Reappointment, Promotion and Tenure Committee Review. After receiving recommendations from departments within OSU-CHS, all documentation files are reviewed by the OSU-CHS RPT Committee. Following a review of all documents provided on each candidate, the OSU-CHS RPT 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 OSU-CHS policies. This statement is to be added to the candidate's RPT packet prior to review by the Provost. 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 their signature.

A copy of the OSU-CHS RPT 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. Provost Review. The Provost, after reviewing all materials and other recommendations, submits their Statement of Recommendation to the President of OSU-CHS. 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 Provost's recommendation letter shall reflect their professional judgment about the qualifications and merit of the candidate for reappointment, promotion, or tenure. If the recommendation of the Provost 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 their recommendation. Even if the recommendation of the Provost agrees with that of the UPC and unit administrator, the Provost is nevertheless encouraged to include in the documentation file a written statement setting forth rationale for their recommendation. The Provost's Statement of Recommendation must be added to the candidate's documentation file, along with their notation of recommended action and signature on the RPT Summary of Recommendations form. The Provost transmits the documentation file to the President of OSU-CHS.

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

A copy of the Provost'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 President of OSU-CHS on or about March 15 of each year.

a. *Administrative Review.* Recommendations and documentation are submitted for review by the President of OSU-CHS. In the process of their review, the President of OSU-CHS may seek counsel from the Promotion and Tenure Resolution Committee of the OSU-CHS Faculty Senate and others as deemed appropriate. Written input from the Promotion and Tenure Resolution Committee of the OSU-CHS Faculty Senate 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 President of OSU-CHS in their 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 President of OSU-CHS to be certain that all applicable standards and policies that have been approved by OSU-CHS have been applied fairly to each individual.

Additionally, the recommendation of the President of OSU-CHS shall reflect their professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure.

If the recommendation of the President of OSU-CHS is negative and differs from that of the Provost, the President of OSU-CHS is responsible for communicating in writing to the Provost, unit administrator, and faculty member the reasons for the disagreement.

A copy of the President of OSU-CHS'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 President of OSU-CHS may be conducted by the President of the OSU System. A list of actions is then developed which the Oklahoma State 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 of Regents 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 separates from OSU-CHS.

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 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 12-month appointments.
- b. Reappointment to the rank of Assistant Professor without tenure is effective on September 1 (9- month) or July 1 (12-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.

Providing Feedback to Faculty on Final RPT Action

- a. The Provost shall inform the affected faculty member that: (1) a recommendation for promotion, reappointment and/or tenure will be presented by the President of the OSU System to the Board of Regents in mid to late June, or (2) OSU-CHS 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 of Regents' approval will be sent to each faculty candidate from the Provost and/or unit administrator relaying the final decision of their 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 of Regents' approval is secured on RPT actions, all documentation files will be returned to the Provost and will be retained intact for

one year.

d. In order to eliminate an inadvertent breach of confidentiality, when the RPT files are returned to the Provost's office, the external peer review letters will be removed from the file and will be retained in the Provost'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.
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 Provost (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:

General Faculty: May 16, 2013

Board of Regents: December 6, 2013

General Faculty: November 6, 2018

Board of Regents: September 9, 2022

Modifications to Body and Appendices Approved by the OSU Board of Regents,
June 14, 2024.

OSU-CHS Criteria for Promotion and Tenure (Tenure-Track Faculty)

1. Primary areas of evaluation

- a. Teaching
- b. Research (Scholarly Activity)
- c. Service

2. Promotion from Instructor to Assistant Professor

- a. Demonstrated effectiveness in at least one of the three areas: teaching, research and scholarly activity or service.
- b. Some accomplishment in the remaining two areas is also expected.
- c. The individual should have a reputation among colleagues for stability, integrity, and dedication and should be capable of working in harmony with peers.
- d. Membership in professional societies is expected, and physicians should be eligible for applicable medical specialty board(s).

3. Promotion from Assistant Professor to Associate Professor

- a. Ordinarily, Assistant Professors will be considered for promotion during the sixth year in rank. Any recommendation for promotion prior to this length of service will be considered extraordinary and will require exceptional justification.
- b. An Associate Professor should have substantial professional qualifications and experience beyond the terminal degree. There should be a record of accomplishment in two of the three areas (teaching, research and scholarly activity, or service) and some strength in the third.
- c. Since tenure is awarded at this rank, the individual should be desirable as a permanent colleague and member of the faculty.
- d. Physicians should have attained board certification applicable to their specialty.

4. Promotion from Associate Professor to Professor

- a. Ordinarily, an Associate Professor will be considered for promotion during the fourth year in rank (see Section 2.1 (1) of this Appendix D). Any recommendation for promotion prior to this length of service will be considered extraordinary and will require exceptional justification.
- b. A Professor should have a record of outstanding and extensive professional accomplishment in one of the three areas (teaching, research and scholarly activity or service) and significant accomplishments in the other two.
- c. The individual should have a scholarly or professional reputation among colleagues on a local, state and national level.

Appendix E: Clinical Faculty (Non-Tenure Track) Basic Standards for Appointment and Promotion

PURPOSE

The purpose of this policy and procedure is to provide guidelines for the evaluation of Clinical (non-tenure track) faculty through annual evaluation, reappointment/non-reappointment, and promotion.

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. The appraisal and development process, as well as the reappointment and promotion process, are the means used to encourage and evaluate the professional growth of individual clinical track faculty members. The goal is to attract, retain and reward those faculty who demonstrate excellence.

Faculty Evaluation. The evaluation process at OSU-CHS 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 promotion.

Promotion in Academic Rank. Initial academic rank is based on evidence that the faculty member has met the qualifications for the rank to which they are 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 scholarly 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. Faculty with clinical non-tenure track appointments primarily contribute to teaching, patient care, and/or clinical teaching/supervision. Service on OSU-CHS committees and other such duties is not required but may be undertaken by mutual consent of the clinical faculty member and their Unit Administrator, Dean, and Provost. Likewise, research and scholarly activity is not required but may be undertaken with the mutual consent of the clinical faculty member, their Unit Administrator, Dean, and Provost.

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 OSU-CHS 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 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 promotion to Assistant Professor (2) the indices and standards that will be used to determine whether candidates meet the requirements for promotion to Associate Professor, (3) the indices and standards that will be used to determine whether candidates meet requirements for promotion to Professor, and (4) the goals and expectations to be used in evaluating faculty performance in annual appraisal and developments. The unit standards must delineate the tangible evidence that the faculty member must provide to document, not simply the attainment of minimal accomplishments, but an appropriate record of sustained excellence.

The academic unit standards will define the criteria of teaching, clinical work, 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 the 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 Provost, and the President of OSU-CHS.

Basic Standards for Appointment and Promotion at each Rank

- 1. Clinical Instructor:** Appointment to this rank requires that a candidate possess a terminal degree. The individual's potential to develop into an effective clinician and/or educator should be given consideration when appointed to this rank. The individual should have professional skills and expertise needed in the discipline. Such expertise should be certified by the discipline's professional organization, as appropriate. A Clinical Instructor demonstrates excellent performance in teaching and other assigned duties. The record of a Clinical Instructor should include maintenance of professional expertise and participation in professional organizations.
- 2. Clinical Assistant Professor:** Appointment or promotion to this rank will be based on potential as a clinician and/or educator. The Clinical 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 Clinical Professor should have earned the accepted highest degree in their field or, in exceptional cases, should have demonstrated potential via professional experience judged by the unit as beneficial and desirable for the particular appointment. Physicians should be board eligible, certified, or have comparable credentials in area of medical specialty. Other clinical faculty should have completed a recognized training program appropriate to their discipline. Physicians should show potential for excellence in patient care and a commitment to the ethical and compassionate provision of such services. The individual should also possess a documented record of teaching contributions or show potential and interest in teaching.
- 3. Clinical Associate Professor:** Appointment or promotion to this rank requires certification or comparable credentials in the area of medical specialty for physicians, or as applicable to the discipline for other clinical faculty. Competence in clinical care and teaching at a more advanced level than that for Clinical Assistant Professor is required. The individual must possess a record of excellence in the ethical and compassionate provision of patient care services, and must have a significant record of scholarly research, artistic and/or creative work,

teaching, outreach/extension and service in keeping with the academic unit, college, and university standards and their job responsibilities. Their clinical skill and judgment should be respected by colleagues in the department and professional community. Recognition as a clinician, clinical teacher, leader, or expert consultant should be evident or emerging. For promotion to this rank, the individual should show evidence of significant and meaningful contributions to the strength, educational mission, or leadership in the department.

- 4. Clinical Professor:** Appointment or promotion to this rank should signify that the individual is a distinguished authority in their field and is recognized regionally and/or nationally. Physician faculty must be certified or possess comparable credentials in their area of medical specialty, or as applicable to the discipline for other clinical faculty. The individual must show a record of sustained excellence in the ethical and compassionate provision of patient care services, if applicable. Clinical skills and/or teaching should be of the highest quality. For promotion to this rank, the individual should show evidence of sustained and superior contributions to the strength, educational mission, or leadership in the department. Professional colleagues recognize the clinical professor for their contributions to the discipline. A clinical 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/or service in keeping with the unit criteria and their job responsibilities. The record of a successful candidate for clinical professor must show evidence of sustained excellence over an extended period of time.

PROCEDURES

1.0 OVERVIEW OF THE RESPONSIBILITIES OF PARTICIPANTS IN THE REAPPOINTMENT/NON-REAPPOINTMENT AND PROMOTION PROCESSES

Operationally, the function of the promotion process for non-tenure track faculty is to determine whether each candidate has met the detailed academic qualifications and criteria specified by their unit. In this process, the candidate, UPC, unit administrator, the RPT Committee of the OSU-CHS Faculty Senate, the Provost and the President of OSU-CHS 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 promotion have been met. 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, attached hereto, 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 they are an excellent clinician, teacher, scholar and colleague. It is essential that the candidate include in the file all the materials necessary to document and affirmatively establish that they have met all applicable criteria and qualifications.

Unit Personnel Committee. The responsibility of the UPC 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 UPC 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. A minimum of 3 voting faculty members are required to be at the same rank as, or above, that being sought by the candidate, i.e., If candidate is non-tenure-track then the UPC may be comprised of tenured faculty and non-tenured faculty.
- b. Each academic unit will formalize a mechanism by which all unit faculty may provide input to the UPC. 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, the unit administrator and Provost will convene to determine the UPC.
- 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. Faculty members applying for reappointment (tenure-track only), promotion or tenure may not serve on a UPC in the year of their application.
- f. The following administrators cannot serve on the UPC: President, Provost, or Dean.
- g. All Voting members of the UPC are required to sign the UPC recommendation letter to the unit administrator.

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. They assist the candidate in constructing the documentation file for promotion and make a final assessment of the candidate after they have received the recommendation of the UPC. They have 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 their professional judgment about the qualifications and merit of the candidate for non-reappointment and promotion actions and shall forward all materials to the Provost.

OSU-CHS Reappointment, Promotion, and Tenure Committee ("OSU-CHS RPT Committee"). The college-level committee is responsible for providing the Provost with a professional opinion about the qualifications of the candidate for promotion. This committee is not involved in clinical (non-tenure) track reappointment/non-reappointment decisions. The committee examines the documentation provided by the faculty member, the standards that have been adopted by the department, and the Statements of Recommendation provided by the department personnel committee and the unit administrator for fairness in procedure and review at the departmental level and for consistency within OSU-CHS.

The committee will then provide a written recommendation to the Provost that indicates whether the personnel action being considered is supported. The OSU-CHS RPT Committee may also be charged with including in its recommendation a professional opinion about the qualifications and merit of the candidate for promotion. If there is a divergence of opinion within the OSU-CHS RPT Committee, both majority and minority opinions shall be indicated within a single recommendation letter. Guidelines for the OSU-CHS RPT Committee will follow the structure outlined by the OSU-CHS Bylaws.

Provost. The Provost has several vital responsibilities both prior to and during the non-reappointment and promotion evaluation processes. They work continuously with departments, making sure the academic unit standards for promotion are clear and consistent with the level of excellence expected in the college and OSU-CHS and that the department's emphasis on differing aspects of faculty activities matches the role the department plays in OSU-CHS. They provide explicit and detailed guidance regarding the type and quality of documentation that will be required of candidates whose applications for promotion are to be forwarded to the President of OSU-CHS.

Upon receiving recommendations from departments, the Provost, with input from the OSU-CHS RPT Committee, shall carefully review the candidate's documentation file, including the recommendations of the UPC and unit administrator. They 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 Provost's recommendation letter shall reflect their professional judgment about the qualifications and merit of the candidate for promotion. This written report will be added to the documentation file and forwarded to the President of OSU-CHS as part of their Statement of Recommendation.

President of OSU-CHS. The President of OSU-CHS is responsible for examining the files and Statements of Recommendation written by all involved groups and administrators. The President of OSU-CHS may seek additional counsel from the OSU-CHS Faculty Senate and others as deemed appropriate. It is the responsibility of the President of OSU-CHS to be certain that all applicable standards and policies that have been approved by OSU-CHS have been applied fairly to each individual. Additionally, the recommendation of the President of OSU-CHS shall reflect their professional judgment about the qualifications and merit of the candidate for promotion and will be submitted to the President of the OSU System for recommendation to the Board of Regents.

Guidelines for Clinical Faculty Track Appointments:

- 1. Procedures for recruitment:** A national search will normally be required when recruiting for a clinical faculty position and will be determined at the discretion of the unit administrator and Provost.
- 2. Initial appointment:** Initial academic rank is based on evidence that the faculty member has met the qualifications for the rank to which they are being appointed. An applicant's qualifications for a clinical track appointment shall be assessed by the unit administrator, departmental faculty counsel, and OSU-CHS RPT Committee evaluation, which includes but is not limited to review of application, curriculum vitae, licensure, certifications, and other supporting documentation.
- 3. Length of appointment:** The length of appointment for clinical faculty members will be determined by the unit administrator and Provost, following appropriate departmental faculty counsel and based on availability of funds. The length of appointment shall be stated in the memorandum of understanding. Appointments automatically expire at the time specified in the original appointment letter or stated in the previous reappointment action.

Guidelines for Clinical Track Faculty Reappointment:

Appointments are renewable, although OSU-CHS does not accrue any obligation to renew any clinical faculty appointments. Reappointment of a clinical track faculty member to the same faculty rank will be based on the individual's continued fulfillment of the qualifications for that particular rank. The continued fulfillment of these qualifications should be documented in the annual reviews of the clinical faculty

member.

For reappointment decisions, the unit administrator shall conduct a brief review of the faculty member's performance throughout the current contract period. If the review is satisfactory, the unit administrator may make a record for reappointment without seeking appropriate faculty counsel. If the unit administrator finds that the performance was not satisfactory and is considering non-reappointment, the unit administrator must obtain appropriate faculty counsel from the UPC.

Guidelines for Clinical Track Non-Reappointment:

If a decision not to recommend reappointment of a clinical faculty member is based on performance rather than on lack of institutional support for the position, the schedule of notification outlined below should be observed:

- For clinical faculty on one-year of service or less, notice shall be given not later than March 1 of the first academic year of service, if the appointment expires at the end of the academic year, or, if an initial one-year appointment expires during an academic year, at least three months in advance of its expiration.
- For clinical faculty with more than one year of service, notice shall be given at least 12 months before the expiration of an appointment. For example, if an appointment period is from July 1 – June 30, and notice of non-reappointment is given on January 1, then the end of the appointment would be December 31, which is twelve months after the notification of non-reappointment.

Recommendations to not reappoint shall originate with the unit administrator after obtaining appropriate faculty counsel from the UPC. Normally, recommendations shall be in response to a routine notice from the office of the Provost.

If the unit administrator's recommendation is for non-reappointment, the documentation file should be sent forward to the Provost along with a DRAFT copy of the non-reappointment letter.

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

Non-reappointed individuals shall have the option to obtain the reasons for non-reappointment in a confidential form of their choosing. If the affected faculty member believes that the reasons for nonrenewal are based on unlawful discrimination, an exercise of academic freedom, or inadequate consideration, they may request a limited review of the matter utilizing the Dispute Resolution Procedure contained in Appendix C. The RPT Committee will be advised of yearly reappointments and non-reappointments of clinical faculty.

Guidelines for Clinical Faculty Track Promotions

- 1. Promotion in rank:** 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 last promotion. For promotion in the clinical track, as applicable to each individual faculty member's assigned duties, a faculty member's competence, teaching competence, collegiality, research, service, and/or productivity (as assigned by chair), and quality of professional work are among areas that deserve consideration in the evaluation for promotion. The faculty member should meet or exceed the basic standards for each rank.

Clinical track faculty will be eligible to seek promotion, after appropriate time of service in rank, according to the timetable below. Earlier consideration of promotion in rank may be considered if documented in the original letter of appointment or in exceptional cases that are fully justified by additional documentation. Contingent upon reappointment, the schedule of eligibility to seek promotion is as follows:

Ordinarily, Clinical Assistant Professors will be considered for promotion during the seventh year in rank. Any recommendation for promotion prior to this length of service will be considered extraordinary and will require exceptional justification.

Ordinarily, Clinical Associate Professors will be considered for promotion during the fifth year in rank. Any recommendation for promotion prior to this length of service will be considered extraordinary and will require exceptional justification. 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-CHS when a clinical (non-tenure track) faculty member is being considered for promotion.

1.1 Identifying Promotion Candidates - On or About September 1

- a. *Notification of Process.* Early in the Fall semester, the Provost receives a memorandum from the President of OSU-CHS 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 scheduled for

promotion that year. An informational copy of the OSU-CHS memorandum and departmental report is shared with the unit administrator.

Informational notification is also sent by the President of OSU-CHS to each faculty member identified on the report, with a statement notifying the faculty member that their name has been sent to the Provost and unit administrator and encouraging the faculty member to contact the unit administrator to verify that action will be taken as scheduled. 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 12-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.

b. *Verification of RPT Report.* To maintain confidence in the Departmental Faculty Reappointment and Tenure Report, it is the responsibility of the Provost and unit administrator to examine the departmental reports for completeness and accuracy. The Provost 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 Provost's office. Corrected reports are submitted in the Spring to the President of OSU-CHS when all RPT actions for the college are delivered by the Provost.

1.2 Preparing Promotion 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 promotion.

The OSU-CHS Reappointment, Promotion/Tenure Recommendations Form, "Development of the RPT Documentation File," included herein, ("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-CHS 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. The unit administrator should provide all initial appointment documents including memorandum of understanding, position announcement and/or description.
 2. A statement describing the work assignment within OSU-CHS (teaching, research/creative work, clinical, 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. 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 Provost, the Provost's written resolution of the appeal should be included.
 4. The unit administrator should provide written statements, if any, documenting either special achievements or deficiencies related to the proposed personnel action.
 5. Records of sabbatical or other periods of leave (not to include annual leave) should be included by the unit administrator.
 6. The unit administrator should ensure that copies of all applicable departmental standards, policies and procedures for promotion 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.
- c. The following materials for the promotion 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. All materials in the documentation file should be available for review by the faculty member.

e. If the faculty member finds that information provided by the unit administrator is incomplete or inaccurate or if there is additional documentation they 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 they have 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 UPC, unit administrator, the OSU-CHS RPT Committee, and Provost *are not* included in the file at this point in the process.

1.3 Adding Additional Materials to Documentation File

a. Materials can be added to/deleted from the documentation file until the UPC 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 documentation file as soon as finalized. These documents shall be considered by the UPC 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 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. Documentation of accomplishments achieved after the application submission deadline can be applied to the following promotion review.

c. After the Statement of Recommendation is formulated by the UPC and recorded, the only documentation that may be added, except as noted in 4 and 5, to a candidate's packet are the Statements of Recommendation from the UPC, the unit administrator, the OSU-CHS RPT Committee, and the Provost.

d. The candidate will be provided one opportunity to respond to a negative Statement of Recommendation and to have that response added to their packet. The candidate will have five working days following receipt of the *first* Statement noting denial of the proposed action to formulate a response no longer than 1,000 words. The candidate will submit their 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 Provost's office within five 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 their department head informed of their 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 UPC, 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.

1.4 Reviewing Documentation File and Statements of Recommendation

Once the faculty member has acknowledged the contents of the documentation file, the process of seeking faculty counsel and administrative input begins. Unit administrators are charged with the responsibility of recommending promotion. 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

UPC or a special or permanent committee of faculty for the academic unit involved reviews all pertinent data for those individuals who are being considered. The committee evaluates each individual's contributions in the three major areas of teaching, research/creative work, and service, 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 UPC shall prepare a Statement of Recommendation regarding promotion 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. This statement must be added to the candidate's packet prior to review by the unit administrator. Additionally, the chair of the UPC or an appropriately elected representative of the faculty will record the committee's recommendation on the RPT Summary of Recommendations form, along with their signature.

A copy of the UPC'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 Provost must address, in specific terms, how the faculty member has or has not satisfied each applicable departmental criteria for promotion. 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 packet prior to review by the OSU-CHS RPT Committee and the Provost.

If the faculty member being reviewed for promotion also holds the position of unit administrator, it will be necessary for the Provost 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 their recommended action with their 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 administrator(s) 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 Provost 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 which provided the counsel.

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

The unit administrator then transmits the documentation file to the Provost.

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 Documentation File:*

1. If a candidate is being considered for promotion, that individual's documentation file must be forwarded to the Provost for evaluation and further transmittal to the President of OSU-CHS for review and action regardless of whether the recommendation is positive or negative.
2. If a candidate is considered for early promotion, and both the unit administrator and the UPC recommend against the proposed action, that individual's documentation file will not be forwarded to the Provost for further consideration unless the candidate requests otherwise. However, if the unit administrator and the UPC do not agree on a recommendation, the documentation file will be forwarded to the Provost for evaluation and further transmittal to the President of OSU-CHS.
3. At any point in the process, a candidate for promotion may elect by written request to withdraw their name from further consideration.
4. It is the policy of OSU-CHS 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. Unit administrators who have candidates who wish to be reconsidered earlier must demonstrate to the Provost that the candidate has made substantial accomplishments since the last consideration before the review process is initiated. After review by the Provost and consultation with the President of OSU-CHS, the unit administrator will be notified whether or not approval is granted for reconsideration of the candidate.

On or About February 15 - March 14

a. *OSU-CHS Reappointment, Promotion and Tenure Committee Review.* After receiving recommendations from departments within OSU-CHS, all documentation files are reviewed by the OSU-CHS RPT Committee. Following a review of all documents provided on each candidate, the OSU-CHS RPT 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 OSU-CHS policies. This statement is to be added to the candidate's packet prior to review by the Provost. 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 their signature.

A copy of the OSU-CHS RPT 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.

b. *Provost Review.* The Provost, after reviewing all materials and other recommendations, submits their Statement of Recommendation to the President of OSU-CHS. 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, the Provost's recommendation letter shall reflect their professional judgment about the qualifications and merit of the candidate for promotion. If the recommendation of the Provost 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 their recommendation. Even if the recommendation of the Provost agrees with that of the UPC and unit administrator, the Provost is nevertheless encouraged to

include in the documentation file a written statement setting forth rationale for their recommendation. The Provost's Statement of Recommendation must be added to the candidate's documentation file, along with their notation of recommended action and signature on the RPT Summary of Recommendations form. The Provost transmits the documentation file to the President of OSU-CHS.

A copy of the Provost'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 President of OSU-CHS on or about March 15 of each year.

a. *Administrative Review.* Recommendations and documentation are submitted for review by the President of OSU-CHS. In the process of their review, the President of OSU-CHS may seek counsel from the Promotion and Tenure Resolution Committee of the OSU-CHS Faculty Senate and others as deemed appropriate. Written input from the Promotion and Tenure Resolution Committee of the OSU-CHS Faculty Senate 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 President of OSU-CHS in their 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 President of OSU-CHS to be certain that all applicable standards and policies that have been approved by OSU-CHS have been applied fairly to each individual.

Additionally, the recommendation of the President of OSU-CHS shall reflect their professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure.

If the recommendation of the President of OSU-CHS is negative and differs from that of the Provost, the President of OSU-CHS is responsible for communicating in writing to the Provost, unit administrator, and faculty member the reasons for the disagreement.

A copy of the President of OSU-CHS'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 President of OSU-CHS may be conducted by the President of the OSU System. A list of actions is then developed which the Oklahoma State 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 of Regents specifies the date on which the promotion will become effective.

1.5 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 Board of Regents for approval, the date on which the promotion is effective shall be specified. A guide for the effective date of actions follows:

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.

1.6 Providing Feedback to Faculty on Final RPT Action

- a. The Provost shall inform the affected faculty member that: (1) a recommendation for promotion will be presented by the President of the OSU System to the Board of Regents in mid to late June, or (2) OSU-CHS does not intend to promote the faculty member. Denial of promotion does not alter continued clinical faculty status at the present rank should such reappointment be made.
- b. Formal notification of Board of Regents' approval will be sent to each faculty candidate from the Provost and/or unit administrator relaying the final decision of their promotion 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 of Regents' approval is secured on RPT actions, all documentation files will be returned to the Provost and will be retained intact for one year.
- d. The RPT files will be returned to departments for retention as required by policy.

1.7 Credit for Time Accrued

Credit for time completed at another institution of higher learning may be allowed as partial fulfillment of time served in rank for promotion eligibility. A maximum credit of three years is allowed; the number of credited years is determined with agreement of the prospective faculty member, unit administrator, and Provost. The original letter of appointment shall contain specific information regarding any years credited toward the timeline for promotion eligibility, contingent upon renewal of appointment.

1.8 Sample Criteria for Clinical Faculty Evaluation

In keeping with faculty assignment, clinical track faculty may be engaged in a range of professional activities upon which performance is based. Although not exhaustive, examples of various professional endeavors and methods for documenting performance are described in the following:

- a. Teaching criteria: Examples of teaching activities include but are not limited to:
 - instructing students, residents, or other trainees in classroom, laboratory, or patient-care settings
 - facilitating small-group teaching activities
 - developing or refining curriculum, syllabi, courses, or other teaching programs
 - presenting at professional educational meetings
 - presenting at or organizing faculty development programs
 - developing or refining instructional or evaluation materials
 - serving as a role-model, mentor, or advisor for trainees
 - presenting at case conferences or grand rounds
 - facilitating or organizing journal clubs

- b. Teaching evaluation: Methods to document achievement in teaching include but are not limited to: evaluation by faculty counsel, peers, chair, supervisors, students, and residents; teaching awards or other teaching recognition; invited lectures; faculty evaluation of course management, curriculum, teaching programs, or educational materials; detailing of trainee achievements; letters of reference.

- c. Clinical Care criteria: Examples of clinical activities include but are not limited to:
 - providing direct patient care services
 - supervising medical trainees or staff
 - developing or overseeing quality improvement initiatives/programs
 - developing new clinical procedures or techniques

- developing or refining patient care algorithms
- innovation in the delivery of patient care
- expansion of existing clinical programs or services

d. Clinical Care evaluation: Methods to document achievement in clinical care include but are not limited to: clinical productivity; patient satisfaction; peer review documentation, if available; quality assurance indicators; faculty evaluation; reputation of clinical program; patient referrals from peers; letters of reference.

e. Service: Service to the university at large or to the medical profession is not required nor expected of clinical faculty members. However, should the clinical faculty member engage in such activities, these activities may be used to support the promotion in rank of clinical faculty.

f. Research and Scholarly Activity: Research and scholarly activity are not required nor expected of clinical faculty members. However, should the clinical faculty member engage in such activities, these activities may be used to support the promotion in rank of clinical faculty.

g. External Letters: External letters are NOT required for non-tenure track faculty members. Support letters can be added to the file if desired by the faculty member.

1.9 Guidelines for Changes in Faculty Track

a. Changing from a Clinical Faculty Non-Tenure track to a Tenure Track position: Non-Tenure track clinical faculty are eligible to apply for any tenure-track position for which they may be qualified. Note that new tenure-track faculty positions should follow the guidelines for recruitment and appointment of tenure-track faculty, including a national advertising and a formal search committee process, as set forth in the OSU-CHS Policy.

1. Credit for time accrued: When changing from a non-tenure to a tenure-track position, up to three years of time served in the clinical track may be applied to the pre-tenure probationary period, if requested by the faculty member and with the approval of the unit administrator and Provost. If no credit is requested or awarded, the pre-tenure probationary period will begin at the time of the tenure-track appointment.

b. Appointment in rank: Should a faculty member change to a tenure-track position, tenure-track rank will be based on the criteria for appointment established for the tenure-track rank, and not based on the faculty member's pre-existing rank.

c. Changing from a Tenure track position to a Clinical Faculty Non-Tenure track position: Tenure track faculty may wish to change from a tenure-track

position to a non-tenure track clinical faculty position and are eligible for consideration and appointment to these positions as openings arise. However, the rights and privileges given with the tenure-track position are lost.

1. Credit for time accrued: When changing from a tenure-track to a non-tenure clinical-track position, up to three years of time served in the tenure-track may be allowed as partial fulfillment of time served in rank for promotion eligibility, if requested by the faculty member and with the approval of the unit administrator and Provost. If no credit is requested or awarded, the timeline for promotion eligibility will begin at the time of the clinical-track appointment.
2. Appointment in rank: Should a faculty member change to a clinical faculty position, clinical-track rank will be based on the criteria for appointment established for the non-tenure clinical-track rank, and not based on the faculty member's pre-existing rank.

Approved:

OSU-CHS Faculty Senate: August 5, 2022

Board of Regents: September 9, 2022

Modifications to Body and Appendices Approved by the OSU Board of Regents,
June 14, 2024.

Appendix F: Reappointment, Promotion and Tenure Timeline, Instructions, and Forms

Promotion Application Timeline for all Faculty

DATE/BY:	ACTION	RESPONSIBILITY
September 15	Chairs receive report of faculty due for an RPT decision	Provost OSU-CHS
September 30	Faculty member notified by Chair to start preparing RPT documentation packet, due January 15th	Chair
October 15	Faculty member provides to Chair list of five external referees to write letter of support, submits external letters waiver form to Chair (TENURE TRACK ONLY)	Faculty member
October 30	Chair selects three names from faculty list (and/or from other names developed with departmental members) and solicits letters to arrive to the Chair within one month. Chair provides copy of soliciting letter to external referees to the faculty member and includes the letter in the applicant's RPT file. (TENURE TRACK ONLY)	Chair
November 30	Chair assembles external letters received or further solicits required letters. (TENURE TRACK ONLY)	Chair
January 15	Faculty member completes RPT documentation packet and gives to Chair. Faculty member signs Section 3 of the OSU-RPT form denoting completion of file at this point.	Faculty member
January 15	Chair adds the external letters to the RPT document, provides copies to the candidate's departmental tenured faculty and convenes a meeting to evaluate the candidate. (TENURE TRACK ONLY)	Chair
January 30	A representative of the departmental tenured faculty shall prepare a statement of recommendation which explicitly addresses how the candidate has or has not satisfied applicable departmental criteria for promotion, tenure or reappointment. This statement must be added to the candidate's RPT packet prior to review by the Chair. Additionally, the representative of the faculty will record their recommendation on the RPT Summary of Recommendations form, along with their signature.	Representative of Reviewing Faculty
February 15	Chair adds statement of recommendation from the faculty representative to the RPT documents, completes a final review, denotes action and signs RPT form, writes letter of recommendation to the P&T Chair, gives copy of letter to faculty candidate, includes letter and RPT form in RPT packet and send the original packet to the Provost.	Chair

February 28	P&T Chair checks RPT packet for completeness, convenes P&T meeting, distributes copies of RPT packet to P&T committee members, holds meeting and votes on recommendation, writes statement of recommendation to the Provost, sends copy to faculty member, adds statement to RPT and forwards complete original RPT packet to Provost's office.	Chair of Promotion and Tenure Committee
March 15	Provost completes final review of RPT document, writes letter of recommendation, sends copy of letter to faculty candidate and P&T Chair, forwards complete RPT documentation to OSU-CHS President.	Provost
June 30	Final institutional review of the personnel actions submitted by the OSU-CHS President may be conducted by the President of the OSU System. A list of actions which the Oklahoma State 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). When approved, the Board of Regents specifies the date on which the promotion will become effective.	Oklahoma A&M Board of Regents

OSU-CHS Instructions for Unit Administrators

Please review these present guidelines to determine eligibility and appropriateness of application for promotion for your departmental members. The timeline below should be consulted, and appropriate action taken. For those faculty who are eligible and whose promotion you endorse, please submit in your support letter accompanying the RPT packet to the OSU-CHS Reappointment, Promotion, and Tenure Committee the following specific information:

1. A description of the assignments of the applicant since appointment or the last promotion.
2. A description of your departmental criteria for promotion and the review process that occurred within your department.
3. A summary of the conclusions of the departmental review. Include an identification of the areas considered to be “excellent,” “significant,” and “satisfactory,” and provide supporting evidence for each.
4. A description of the personal qualities of the applicant in the conduct of their professional activities.
5. A statement of the potential of the applicant for continuing contribution to the department.
6. A statement describing student evaluations of the teaching performance of the applicant.

OSU-CHS RPT Documentation Instructions for Faculty Candidate (All Faculty)

Please submit your complete CV followed by the documentation described below. The vita should include: (1) summary and chronology of education and postdoctoral training; (2) history of current and previous academic/professional appointment(s), promotion history, and academic rank(s) held; (3) state licensure information, and specialty boards (eligibility/passed), if applicable; (4) professional society memberships; (5) professional honors and awards; and (6) list of publications and abstracts, with complete author, journal, and date information. After your CV, documents required in the OSU RPT FORM Ilc-h should be included, followed by the three sections: (1) Teaching; (2) Research (scholarly activity) and (3) Service. Items listed below are not exhaustive and not all categories will be relevant for all faculty members; other relevant material may also be included. While not required, all faculty can include internal letters from individuals supporting each area who can describe the quality of your work. These letter(s) should come from OSU-CHS colleagues as outside letters are solicited by the unit administrator.

A. Teaching

1. Topics and hours taught in classroom, laboratory/practicum, OSU-CHS Clinic, or College-affiliated hospitals and clinics.
2. Courses coordinated.
3. Letters from course coordinators, departmental chairs, or colleagues who have observed your teaching.
4. Development of instructional materials: text, laboratory manual, computer-based instruction.
5. Innovations undertaken in courses and curriculum.
6. Teaching awards, honors.
7. Teaching provided in continuing education programs.
8. Professional development activities related to teaching.
9. Other activities related to the educational mission of the College.

B. Research (Scholarly Activity)

1. Publications. List refereed journal articles, published abstracts, and books or book chapters. May include publication related to medical training or clinical issues. Include a copy of representative examples of publications in your folder. For pending publications, include name of journal that has been

accepted, and expected date of publication.

2. Grants and Contracts. Indicate grants and contracts which have been submitted, identifying which were approved, pending, and which were funded. Include period of grant and total direct costs for each grant. Identify individuals and percent effort of P.I. and Co-I (if applicable) on all grants.
3. Scholarly Presentations.
4. Professional development activities related to research and scholarly work.

C. Service

1. Institutional service
 - a. Committee service.
 - b. Faculty governance activities.
 - c. Student advisement.
 - d. Faculty development activities which you have provided at OSU-CHS.
2. Clinical service
 - a. Describe clinical service provided as part of departmental work assignments.
 - b. Professional licensing, credentialing, and boarding.
 - c. Letters from peers or supervisors describing your ability in your area of clinical expertise.
 - d. Professional development activities related to clinical service.
3. Professional Service
 - a. Service to professional and scientific organizations (includes committees, offices held, etc.).
 - b. Governmental appointments.
 - c. Consulting activities.
4. Public Service
 - a. Invited talks for lay audiences.
 - b. Community organization activities
 - c. Public media-sponsored presentations.
 - d. Other public service activities related to the missions of the College or department/discipline.

**OKLAHOMA STATE UNIVERSITY CENTER FOR HEALTH SCIENCES
REAPPOINTMENT, PROMOTION/TENURE RECOMMENDATIONS FORM
SUMMARY OF RECOMMENDATIONS**

NAME OF FACULTY MEMBER: _____

	<u>RECOMMENDED ACTION</u>¹	<u>SIGNATURE</u>	<u>DATE</u>
Department Faculty Counsel:	_____	_____ Faculty Representative ²	_____
Unit Administrator:	_____	_____	_____
OSU-CHS RPT Committee:	_____	_____ (Committee Chair)	_____
Dean/Provost:	_____	_____	_____
Provost/President:	_____	_____	_____

¹Reappointment, promotion, tenure, non-reappointment, no promotion.

²Chairman of department faculty personnel committee or appropriately elected or appointed representative of the faculty.

WAIVER OF RIGHT TO INSPECT AND REVIEW CONFIDENTIAL LETTERS OF RECOMMENDATION (Tenure-Track Only)

I, _____(type full name) 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)

**OKLAHOMA STATE UNIVERSITY CENTER FOR HEALTH SCIENCES
REAPPOINTMENT, PROMOTION/TENURE RECOMMENDATIONS FORM
DEVELOPMENT OF THE RPT DOCUMENTATION FILE**

1. INFORMATION CONCERNING THE RPT ACTION:

Name: _____ Action Considered: ____ Reappointment: _____

Promotion: _____ Department: _____

Date this action will become effective if fully approved: _____

Current rank: _____ Date of Current Rank: _____

Date of Initial appointment at OSU-CHS: _____

Will this action confer tenure if fully approved? Yes _____ No _____

Is this considered an early action as defined in the "Appointment Periods and Time in Rank" section of the Policy and Procedure letter on Reappointment, Promotion and Tenure Process for Ranked Faculty?

Yes _____ No _____

NOTE: It is the responsibility of the faculty member and the unit administrator to prepare a documentation file to clearly summarize the history of the faculty member's appointment before any deliberations begin regarding reappointment, promotion and/or tenure.

2. DOCUMENTATION THE UNIT ADMINISTRATOR MUST PROVIDE:

The following is intended to be a minimal list of items to be provided by the unit administrator, not necessarily a listing of the *only* items to be included.

- a. Listing of academic appointments, reappointments and promotions at OSU-CHS

<u>Rank</u>	<u>Type of Action (appointment, reappointment, promotion)</u>	<u>Effective Date</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Check

- _____ b. Initial appointment documents including position description (required only for those who have not yet been awarded tenure).
- _____ c. A statement describing the work assignment within OSU-CHS (teaching, research, extension, service, administration, and/or advisement) during the period considered for this personnel action. A summary of percentages for each category of activity should be included.
- _____ d. Annual appraisal and development documents prepared during the period considered for this personnel action. (For tenured faculty, only the documents for the three most recent formal appraisals need be included.)
- _____ e. Written statements, if any, documenting either special achievements or deficiencies related to the personnel action under consideration.
- _____ f. Records of sabbatical or other periods of leave (not to include annual leave).
- _____ g. Copies of applicable departmental policies and procedures for reappointment, promotion, and/or tenure decisions. Major revisions of the above which have occurred during the tenure of the faculty member and which may influence this personnel action must be indicated.
- _____ h. Letters from peer reviewers for promotion and/or tenure considerations. (Tenure track only)
 - _____ Peer review letters are included in the documentation packet. All such letters should be placed in a colored file folder within the packet for easy identification.
 - _____ Faculty member has waived the right to read their peer review letters. If checked, attach the signed waiver to the outside of the colored file folder.

3. DOCUMENTATION THE FACULTY MEMBER MUST PROVIDE:

The following is intended to be a minimal list of items to be provided by the faculty member, not necessarily a listing of the *only* items to be included.

Check

- _____ a. Current vita with complete list of publications, instructional accomplishments, other creative activities and important achievements. Reprints of publications need not be included. Designate publications in refereed journals. Documentation of instructional achievements could include teaching awards, peer evaluation, course syllabi and tests, student evaluations, other testimonies, etc.
- _____ b. Self-assessment statement(s) on instruction, research and/or extension/public service activities, as appropriate, from faculty being considered for tenure.

- _____ c. If the faculty member finds that information provided by the unit administrator in Sections 2.a. through 2.h. is incomplete or inaccurate or if there is additional documentation they would like reviewed, documentation should be added to clarify and complete the file prior to signing the RPT form.
- _____ d. The faculty member should note their review of the file by signature below. This signature indicates that the faculty member has been given an 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 the faculty member, and that the file is complete. Such signature *does not* indicate that the faculty member agrees with the substance of each document. The Statements of Recommendation from the departmental committee, unit administrator, college-level committee (if applicable), and dean *are not* included in the file at this point in the process.

Faculty member's signature

Date

NOTE: With exception of peer review letters where the faculty member has waived their right to access, all materials in the documentation file should be reviewed by the faculty member before formal RPT deliberations begin.

4. STATEMENTS OF RECOMMENDATION:

Copies of ALL Statements of Recommendation must be placed in the documentation file as each step in the review process is completed. Additionally, a copy of each statement shall be given to the faculty member in a confidential manner as outlined in the RPT policy and procedures letter.

- a. **Departmental Faculty Counsel:** The departmental faculty or a special or permanent committee of the faculty of the administrative unit involved shall review the required documentation and prepare a Statement of Recommendation with justification 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 departmental criteria for promotion, tenure or reappointment.
- b. **Unit Administrator:** This Statement of Recommendation must address, in specific terms, how the faculty member has or has not satisfied applicable departmental criteria for reappointment, promotion and/or tenure in the view of the unit administrator. The statement must detail whether or not the performance of the faculty member adequately fulfills the published standards for the proposed personnel action. If the recommendation of the unit administrator differs from that of the appropriate faculty counsel, the reasons for differences must be explained in the statement.

Before the documentation file and unit recommendations are forwarded to the dean, the following must be added by the unit administrator.

Check

_____ (1) Completed Employment Action form for the proposed action.

_____ (2) Draft copy of a letter to be sent to a faculty member who is not recommended for reappointment.

- c. **OSU-CHS RPT Committee:** Faculty counsel may be, but is not required to be, sought by the Dean from an elected personnel committee or a special or permanent committee. In such a case, the members of the committee shall review the required documentation and prepare a Statement of Recommendation with justification regarding reappointment, promotion and/or tenure for the faculty member.
- d. **Provost:** If the recommendation of the Provost differs from that of the department faculty counsel and/or unit administrator, the reasons must be explained in the Statement of Recommendation. Even if the recommendation of the Provost agrees with that of the departmental committee and unit administrator, the Provost is encouraged to include in the documentation file a written statement setting forth rationale for their recommendation.

OSU-CHS Reappointment, Promotion and Tenure Check List

[Carefully Read and Complete the Following Application]

Faculty Member (candidate's full name): _____

Department: _____

Employment Status: Full Time
 Part Time

This RPT Request is for:

<input type="checkbox"/> Tenure Track	<input type="checkbox"/> Clinical Educator Track
<input type="checkbox"/> Reappointment as _____ OR <input type="checkbox"/> Promotion to: <input type="checkbox"/> Assistant Professor <input type="checkbox"/> Associate Professor <input type="checkbox"/> Professor	<input type="checkbox"/> Reappointment as _____ OR <input type="checkbox"/> Promotion to: <input type="checkbox"/> Clinical Assistant Professor <input type="checkbox"/> Clinical Associate Professor <input type="checkbox"/> Clinical Professor
Select One: <input type="checkbox"/> This personnel action confers tenure <input type="checkbox"/> This personnel does not confer tenure	

Documents required:*

- Letter of Request for consideration from Unit Administrator signed dated
- Department Faculty Counsel Input/Letter ** signed dated
(signature of all participants to faculty counsel required)
- Reappointment, Promotion/Tenure Recommendations Form
 3 pages completed, signed and dated by Candidate, Chair, and Faculty Counsel Rep./Chair

- “Waiver of Right” to inspect letters of recommendation (tenure track only):
 - signed dated

- Items that must be included in the submission package:

(Check each item)

- | | |
|---|--|
| <input type="checkbox"/> Current Curriculum Vitae | <input type="checkbox"/> Statement of research accomplishments |
| <input type="checkbox"/> Initial Appointment Documents | <input type="checkbox"/> Statement of teaching service and evaluation |
| <input type="checkbox"/> Self-Assessment | <input type="checkbox"/> Copy of Departmental Policy & Procedure for P&T |
| <input type="checkbox"/> Annual Reviews | <input type="checkbox"/> Points Calculation (if applicable) |
| <input type="checkbox"/> Statement of services rendered | <input type="checkbox"/> External Letters of Recommendation*** (minimum of 3)
(<u>For Promotion with tenure only</u>) |

- * **All documents must be compiled as a single electronic document (pdf file) with bookmarks that match the tab order.**
- **
 - a. Faculty Counsel to be composed of tenured faculty members from within candidate's department
 - b. If there are too few qualified faculty in the department to create an effective faculty counsel, appropriate faculty from other departments may be chosen, with the approval of the unit administrator and Provost.
 - c. If the candidate is also the unit administrator, then faculty counsel is selected under the direction of a substitute unit administrator, appointed by the Provost.
- ***
 - a. External letters of recommendation from former faculty colleagues of candidate must be from those with whom the candidate served more than three (3) years ago.
 - b. The sources of external letters of recommendation should be approved by the unit administrator (unless the candidate is the chair, then approval must be by the Provost).

TAB ORDER

<p>Tab 1</p> <ol style="list-style-type: none"> 1. Form 1 Summary of Recommendations 2. Form 2 Documentation Form 3. Form 3 RPT Checklist (this form) 	<p>Tab 4</p> <ol style="list-style-type: none"> 1. Self-Assessment 2. Statements of Service, Teaching, Research 3. Annual Appraisals 4. Department RPT Policy & Procedure
<p>Tab 2</p> <ol style="list-style-type: none"> 1. Dean's Letter of Recommendation 2. P&T Committee Recommendation 3. Chair Recommendation & Support Letter 4. Faculty Counsel Letter 	<p>Tab 5</p> <ol style="list-style-type: none"> 1. Waiver of Right to Inspect 2. External Letters of Recommendation (provided by Unit Administrator if Waiver of Right to Inspect is signed "yes")
<p>Tab 3</p> <ol style="list-style-type: none"> 1. Current Curriculum Vitae 2. Initial Appointment Documents 	

Appendix G: Termination Procedures

1. **Initiation.** OSU-CHS recognizes the seriousness of faculty terminations and, therefore, reserves for its administrative officers and faculty committees the prerogative to be assisted by the Board of Regents Office of Legal Counsel throughout the decisional process including any formal hearing. Groundless threats to terminate or demands to resign as an alternative to termination should not be made by the unit administrator or other official of OSU-CHS.¹³

Any person who has substantial concern that a faculty member should be subject to termination under Section 1.13.1 or termination on the grounds stated in Section 1.14.2 may present those concerns, substantiating evidence, and related information to the Provost¹⁴ for evaluation and possible action. Although not mandatory, it is preferable that this communication be presented in writing and signed by the person submitting it. Following receipt of such communication, the Provost may seek to obtain additional relevant information from other sources in evaluating same, and shall make a judgment as to whether further inquiry is appropriate.

Should the Provost be inclined not to initiate an inquiry, the President shall be so informed. The President, having received and reviewed all available, relevant evidence, shall consider the complaint and make a judgment as to whether it is in the best interest of OSU-CHS to initiate an inquiry.

If an inquiry is to be conducted, there shall be formed a Termination Review Committee to serve as the administrators responsible for conducting an investigation to develop facts for evaluation and possible action. The Termination Review Committee shall be comprised of:

- a. An investigating official appointed by the Provost;
- b. A member of the Reappointment, Promotion and Tenure committee who is not from the same department of the affected faculty member and is at the same rank or higher than the affected faculty member. This member will be chosen at random by the President of Faculty Senate from a list provided by the Dean; and
- c. A past President of Faculty Senate with an appointment that is less than fifty-five (55) percent administration and is an active faculty member. This member will be chosen at random by the President of Faculty Senate.

The affected faculty member shall be provided the reasons that the investigation is being conducted and the actions that are being considered, a copy of the published

¹³ To ensure fairness to any affected faculty member and the University, All time periods set in this Exhibit G may only be modified for exigent circumstances at the discretion of the body responsible for that portion of the termination procedure.

¹⁴ If the Provost is unavailable, the President may designate another senior supervisory academic administrator to act for the Provost.

procedures which are followed in decisions to terminate, and the names of the members chosen to serve on the Termination Review Committee. The affected faculty member shall notify the Provost within three (3) working days of the reasons the affected faculty member believes there is a conflict of interest. If the Provost determines a conflict of interest exists, a new member shall be chosen as a replacement using the procedures set forth above.

The investigating official will serve as chair of the Termination Review Committee. The Provost shall provide the Termination Review Committee with all of the written information and notes of oral statements which were submitted with or were made in relation to the initial communication of concerns. The Termination Review Committee will conduct an investigation and may request legal assistance for conducting the investigation from the Board of Regents Office of Legal Counsel. The Termination Review Committee may also meet with the person(s) who communicated the original concerns and others to seek clarification and documentation.

The Termination Review Committee should thereafter determine individuals to interview and evidence to examine. The Termination Review Committee should meet with the affected faculty member in a personal conference to explore relevant issues. The Termination Review Committee shall prepare a confidential interim investigation report, and it shall be provided to the affected faculty member within five (5) working days of the personal conference. If a personal conference cannot be arranged, the Termination Review Committee will deliver to the affected faculty member in person or by mail to a current office or residential address its interim investigation report, a request for response from the faculty member within five (5) working days, and a copy of the published termination procedures.

Following receipt of the Termination Review Committee's interim investigation report, the faculty member shall have a defined period of ten (10) working days to respond to the substance of the interim investigation report, propose a suitable disposition to resolve concerns and/or present reasons that termination or other action(s) is unnecessary or unwarranted. Following receipt of the faculty member's written response, the Termination Review Committee will complete its investigation report and submit the report to the Provost.

2. **Initial Administrative Review.** After the Termination Review Committee's investigation has been conducted, the affected faculty member's unit administrator, Dean, and the Provost (collectively "Administrative Review Team") shall meet to review all the information which has been collected. If the unit administrator, Dean, or Provost is the faculty member being investigated, that individual shall not serve as part of this Administrative Review Team. The Termination Review Committee shall provide the members of the Administrative Review Team with all information that has been introduced into the case including that provided by those requesting the investigation, any provided by the affected faculty member or others, and other documentary evidence. In the review, the Administrative Review Team may confer with the affected faculty member as well as others it may deem appropriate.

Following the review, the Provost shall make a preliminary judgment whether there is reasonable and sufficient cause for termination and whether it would be in the best interest of OSU-CHS to continue with the termination procedure. The Provost's preliminary judgment shall be submitted to the President. The President shall make a judgment whether reasonable and sufficient cause exists for further evaluation and whether it would be in the best interest of OSU-CHS to continue with the termination procedure. If in the judgment of the President reasonable and sufficient cause has not been established for further examination, or if it is judged not to be in the best interest of OSU-CHS to continue with the termination procedure, the affected faculty member will be notified in writing by the Provost that it is not the current intention of their office to make a recommendation of termination. If the final decision is that termination is not appropriate but that other action is warranted, the matter shall be referred to the appropriate academic supervisory administrator, as determined by the Provost, for consideration and action. If in the judgment of the Provost and the President, reasonable and sufficient cause for termination appears to have been established and it is in the best interest of OSU-CHS to continue with the termination procedure, the Provost will notify the affected faculty member and the President of the Faculty Senate. If the affected faculty member chooses to proceed with the termination hearing, the affected faculty member shall notify the Provost and the President of the Faculty Senate within five (5) working days and a Termination Hearing Committee will be chosen from the Termination Hearing Board. If the affected faculty member chooses to not proceed with the termination hearing, the termination shall be deemed final.

3. Termination Hearing Board Membership.

The termination hearing board is a standing group consisting of all members of Faculty Senate and the members of the Promotion and Tenure Resolution Committee whose duties are primarily non-administrative. If a hearing is in progress at the time, any retiring member of the board who is on the hearing committee shall be continued on the committee until the case in progress is closed. Termination hearing board members will attend orientation and training programs provided by representatives from the Board of Regents Office of Legal Counsel before beginning service on a hearing committee.

Upon receipt of notice that a formally recommended termination for causes other than financial exigency will be contested, the President of the Faculty Senate will form a hearing committee composed of five voting persons: four selected by lot from the termination hearing board and one appointed by the Provost. The Provost's appointee shall not be a Dean, shall have faculty rank and substantial experience performing administrative duties. All shall attend the orientation and training provided to termination hearing board members. Members who believe they have a conflict of interest shall remove themselves from the case and a replacement shall be selected in the same manner as the member they are replacing. Normally a termination hearing board member shall not serve on two hearing committees at the same time. Each hearing committee shall select its own chairperson from among the members. In the formation of a termination hearing committee the prospective members will be subject to challenges for

cause by either side. The President of the Faculty Senate shall exercise reasonable judgment in ruling on the validity of challenges for cause.

Once appointed, each member shall respect the integrity of the process of the hearing committee. Members shall give sufficient attention to the presentation of information so that both sides to the termination recommendation are accorded a fair opportunity to develop and express their positions under the procedures established for OSU-CHS.

Individuals who are not the subject of a specific termination consideration shall not directly or indirectly interfere with the termination hearing process.

4. **Consideration by Termination Hearing Committee.** Within fifteen (15) working days of receipt of notice that a formally recommended termination will be disputed, the President of the Faculty Senate shall provide the principal parties (the affected faculty member and the Termination Review Committee) with a list of the individuals initially chosen to serve as members of the Termination Hearing Committee. The President of the Faculty Senate shall also provide the members of the Termination Hearing Committee with a copy of the notice of the recommended termination which has been disputed by the affected faculty member. The Termination Review Committee shall elect one of its members to serve as the OSU-CHS Representative during the termination hearing and this individual shall be considered a party for purposes of this Appendix G.

OSU-CHS shall provide appropriate facilities, assistance, equipment, and support to the Termination Hearing Committee and shall assist the committee in obtaining the cooperation of witnesses and making available documentary and other evidence. The personnel records of the affected faculty member shall be accessible to the parties, the Termination Hearing Committee, and review authorities¹⁵ and their representatives.

The Termination Hearing Committee shall begin the hearing within thirty (30) calendar days after the membership of the Termination Hearing Committee is finalized. The affected faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a full hearing, but denies the charges against them or asserts that the charges do not support a finding of reasonable cause, the Termination Hearing Committee will evaluate all available evidence and rest its recommendation upon the evidence in the accumulated record of the matter and its reasonable inferences. The Termination Hearing Committee shall hold a joint prehearing meeting(s) with the parties in order to: (a) simplify the issues, (b) effect stipulations of undisputed material facts or witness statements, (c) provide for the exchange of documentary evidence or other information, (d) exercise peremptory challenges and question prospective committee members to determine if disqualifying bias exists, and (e) achieve such other appropriate prehearing objectives as will make the formal hearing fair, effective, and expeditious.

¹⁵ Review authorities are those individuals and bodies who shall have a need to see such materials at a later stage of the proceeding, such as the President or Board of Regents.

- 5. Hearing Procedures.** The following procedures and guidelines should be followed during the hearing:
- a. The OSU-CHS Representative will establish the history of the appointment and that there is reasonable cause to terminate the appointment based on a quality of proof that is clear and convincing.
 - b. In all presentations of evidence, the OSU-CHS Representative presents their case first, with the faculty member following.
 - c. The parties shall be permitted to utilize licensed legal counsel who shall be allowed to participate in all appropriate portions of the hearings (including prehearings), even including presentation of the faculty member's case to the Termination Hearing Committee. The committee shall consider such counsel's statements on procedural matters and may receive the opinion of its own counsel.
 - d. The hearing shall be attended only by those individuals having an official connection with the proceedings as determined by the President after consultation with the chairperson of the Termination Hearing Committee. Other individuals will be excluded from the hearing room.
 - e. An audio recording of the hearing shall be made by a recorder designated for the proceedings by the chairperson of the Termination Hearing Committee and will be accessible upon request to the principal parties involved, the Termination Hearing Committee, the President, the governing Board of Regents, and authorized representatives on a "need to know" basis.

Either party to the hearing may request that the Termination Hearing Committee endeavor to provide a typed transcript of the testimony. The cost of preparation of such a transcript shall be paid by the party making the request. The second party may obtain a duplicate copy by paying the current fees for copying.

- f. A reasonable time limit should be established for opening and closing statements and shall be announced prior to the outset of the hearing.
- g. Length of hearing sessions may be established in advance; every reasonable effort should be made to conduct the hearing(s) as expeditiously as possible, with equal fairness to both parties.
- h. The Termination Hearing Committee, through its chairperson, shall require from the parties involved that they submit to the committee and exchange with the other party within three (3) working days of the conclusion of the prehearing meeting(s):

- a list of witnesses whom they wish to present;
 - a written exposition of all known relevant facts and/or opinions, as well as circumstantial evidence; and
 - documents which they deem pertinent to the case. In cooperation with the chair of the Termination Hearing Committee the respective parties are responsible for arranging the presence of their own witnesses and will schedule them for appearance as close to the time of call as possible. Both parties shall be permitted during the course of the hearing(s) to introduce additional documents and present witnesses not on their original lists, subject to reasonable notice to the other party and the consent of the committee.
- i. After primary witnesses for both parties have been heard, such witnesses may be recalled for additional questioning if requested by either party or the Termination Hearing Committee. The Termination Hearing Committee may call new witnesses whose testimony it deems relevant or helpful as well as request documents not otherwise introduced by either of the parties.
 - j. All evidence and other information pertaining to the termination hearing shall be treated in a confidential manner, except for reporting authorized by this policy statement.
 - k. Only information relevant to the termination action should be admitted into evidence. For the purpose of the Termination Hearing Committee, questions of relevance shall be decided by the chairperson (subject to later review as provided or referenced herein). Evidence and testimony that is excluded from evidence shall be appropriately described by the offering party and appended to the hearing report for review on appeal.
 - l. The Termination Hearing Committee shall grant adjournments to enable either party to investigate evidence against which a valid claim of surprise is made.
 - m. The faculty member and the OSU-CHS Representative shall normally have the right to confront and cross-examine all witnesses at the hearing. When the prospective witnesses cannot or will not appear, but the Termination Hearing Committee determines that the interests of fairness require formal admission of their statements, the committee shall identify the witnesses, disclose their statements pursuant to the process for disclosing other documentary evidence, and if reasonably possible arrange for answers to proposed interrogatories from such witnesses.
 - n. In the hearing of any allegations concerning incompetence, the evidence in support thereof shall include that of qualified faculty members from OSU-CHS and/or other institutions of higher education.

- o. The Termination Hearing Committee shall not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in evaluating the issues involved. Every reasonable effort shall be made to obtain the most reliable evidence available.
- p. The Termination Hearing Committee reports findings of fact and its recommendations shall be based solely on formally admitted evidence contained in the hearing record and reasonable inferences drawn therefrom. Members of the Termination Hearing Committee shall not converse with nor listen to any person outside the formally convened hearing committee pertaining to the facts, circumstances, or the subject person(s) related to the purpose(s) for which such hearing committee has been appointed or organized.
- q. Neither the participants nor their representatives should cause publicity or public statements about the case, except for such simple announcements as may be required covering the time of the hearing and similar matters.

6. Committee Report. The report of the Termination Hearing Committee shall specifically cite the information upon which its advisory conclusions were based. The written report shall contain:

- a. a statement of the purpose of the hearing;
- b. issues considered;
- c. findings of fact; and
- d. advisory recommendations.

The Termination Hearing Committee shall conclude whether reasonable cause for termination has been sufficiently established by clear and convincing evidence in the record. If the Termination Hearing Committee concludes that reasonable cause for termination has been established, but that an action other than termination should be considered, it shall so recommend, with supporting reasons. The Termination Hearing Committee shall make its confidential report to the President of OSU-CHS with complete copies to the principal parties, their representatives, and related administrators. Said report shall also include all information barred from admission into evidence by the President of the Termination Hearing Committee. The chairperson of the Termination Hearing Committee shall inform the President of the Faculty Senate the report of the Termination Hearing Committee has been submitted to the President.

The affected faculty member and the Termination Review Committee shall each have five (5) working days from the date the report is submitted to the President within which to present in writing any specific objections for consideration regarding the content of the report or the adequacy of the processes used by the Termination Hearing Committee in

arriving at its advisory conclusions. The Termination Hearing Committee shall make available to the President the taped record of the hearing for discretionary reference.

7. **Review and Recommendation by the President.** The President shall exercise reasonable care in reviewing the report of the Termination Hearing Committee. If the President is unable to concur in the findings or recommendations of the Termination Hearing Committee, the report shall be returned to the committee with specific concerns stated in writing. The Termination Hearing Committee will then reconsider, taking into account the stated concerns and, if necessary, review any new evidence or other matters with the parties, if practical. The final report of the Termination Hearing Committee shall be sent to the President and principal parties, with complete copies to their representatives and related administrators. The President shall then review the final report of the Termination Hearing Committee with any changes that have been made.

After reviewing the final report, the President shall send their written decision to the President of the Faculty Senate, the chairperson of the Termination Hearing Committee, and the principal parties, with copies to their representatives and related administrators. If the decision of the President is to recommend termination to the governing Board of Regents, the President shall inform the affected faculty member of their decision and of the published procedures for filing an appeal to the Board of Regents. The President may submit a formal recommendation for termination to the Board of Regents no sooner than ten (10) working days after the affected faculty member has been sent notice by the President that a recommendation for termination is to be made. A recommendation for termination to the Board of Regents shall include the full final report of the Termination Hearing Committee and any other related papers, reports, or recommendations as the President may deem appropriate. At any point in the procedure, prior to the time that the recommendation is formally considered by the Board of Regents, the affected faculty member may withdraw the challenge to the termination recommendation and the termination will be final.

8. **Review and Action by the Board of Regents.** If the Board of Regents chooses to review the case or if the faculty member appeals the President's decision, the review should be conducted according to the published procedure which provides an opportunity for argument, oral or written or both, by the principal parties or their representatives. The Board of Regents has established procedures for perfecting an appeal to the Board of Regents and the conduct of the appeal. A copy of the procedures is available on request from the Office of Legal Counsel at the Board of Regent's Office located at the main OSU campus. The appeal must be initiated by the filing of a petition by registered mail with the Board of Regent's Chief Executive Officer at the Board of Regent's office in the Student Union, Oklahoma State University, Stillwater, within fourteen regular calendar days of the President's decision.
9. **Announcements.** Except for such simple announcements as may be required, public statements about the proposed termination action by either the faculty member, Termination Review Committee, affected administrators, or other institutional personnel should be avoided until the proceedings have been completed. An announcement of

the results of the completed proceedings shall be provided to the President of the Faculty Senate who may share such information with the Faculty Senate and may publish it in the minutes of the Faculty Senate.

Appendix H: Financial Exigency Procedures

1. **Rationale.** Financial exigency is defined as a state of financial crisis which affects OSU-CHS as a whole, to the extent that it may become necessary to terminate tenured appointments or other appointments prior to their normal expiration, and a state in which the survival of programs deemed essential to the mission of OSU-CHS is in doubt. In the event of financial exigency, it will be necessary for OSU-CHS to examine its mission closely in order to determine those programs which are considered essential for maintaining a viable university. Considerations for retaining programs shall include compliance with affirmative action requirements, maintenance of academic excellence, and adherence to administrative due process and compensation and benefit program policies.

In the state of financial exigency, programs may be discontinued or allocated reduced resources. Comprehensive study will be used to determine how required reductions are to be accomplished, including termination of appointments of faculty members, administrative and professional personnel, classified staff, and others as well as maintenance and operations funding.

Because the faculty shares responsibility for educational programs and curriculum, appropriate faculty committees shall be established to provide timely advice on educational planning, budgeting, and allocation of resources.

The termination of tenured appointments or other appointments before the end of their terms is a painful and difficult matter. It affects not only those whose appointments are to be terminated, but everyone in the OCU-CHS community. Any termination of faculty services must be done fairly and humanely and in accordance with the administrative due process defined in this policy statement and Appendix H. In a state of financial exigency, when reductions have to be made across OSU-CHS, every equitable effort shall be made to reorient and reassign tenured faculty within OSU-CHS so that as few as possible will be adversely affected. This does not imply any duty to artificially create employment for the displaced faculty. Special efforts also shall be made to assist nontenured faculty.

By granting tenure, OSU-CHS has given recognition to the current and potential contributions of a faculty member to OSU-CHS. In most cases, a tenured faculty member will have given numerous years of productive and faithful service to OSU-CHS. Giving preferred status to tenured faculty during a state of financial exigency, therefore, is not merely providing protection of an individual's rights under academic tenure, it is practicing humaneness and responsible action within OSU-CHS by those charged with its administration.

2. **Adjusting to the Condition of Financial Exigency.** The Faculty Senate Faculty Budgets and Benefits Committee is the appropriate group to be informed and to be involved with the President and appropriate administrative counsel in monitoring the financial condition of OSU-CHS. In the event of imminent financial exigency as determined by OSU-CHS administration with the advice and counsel of the Faculty

Senate Budget Committee and verified by the Faculty Senate as a whole, the President of OSU-CHS will announce to all OSU-CHS personnel that a state of financial exigency exists.

2.1 Faculty Participation. The faculty, through its elected representative body—the Faculty Senate—will be involved in reviewing and recommending adjustments to financial exigency.

Such involvement shall include participation in the decision-making process by both tenured and nontenured faculty as well as administrative and professional personnel and classified staff at the department, school, college, and institutional levels as provided for by the task force and committees described in the following sections.

2.1.1 OSU-CHS Task Force on Financial Exigency. After announcing that a state of financial exigency exists at OSU-CHS, the President will activate an OSU-CHS task force on financial exigency which will serve as an advisory body to the President. This task force will consist of the officers of the Faculty Senate (President, Vice-President, and Secretary), chairpersons of the Faculty Senate’s Faculty Benefits and Budget Committee, academic standards committee, Staff Advisory Council, and the Vice President for Administration and Finance, two associate or assistant deans selected by the President, two unit administrators selected by the President, the Director of Facilities, the president of the College of Osteopathic Medicine Student Government Association, and a graduate student from an OSU-CHS graduate program, to be appointed by the Provost, with the Provost serving as chairperson of the task force. Within a time limit specified by the President of OSU-CHS, members of the task force will give priority above all other assignments to making recommendations to the President for adjustments to overcome the crisis situation. In the event that the task force is not prompt in meeting the assigned time limit, the President may develop an alternate plan of action to adopt and employ.

The OSU-CHS Task Force on Financial Exigency will be actively involved in determining the extent of the crisis and in the planning of response relative to reorientation, reorganization, and realignments necessary for returning OSU-CHS to a stable financial state.

2.1.2 Academic Committees on Financial Exigency. As directed by the President, the directors of academic divisions of OSU-CHS shall also establish their own committees on financial exigency. The responsibility of these committees shall include assessing the financial situation within their respective areas for alternative solutions to problems associated with financial exigency. The President shall designate a chair for each committee who shall report to OSU-CHS task force within a time limit specified by the President.

2.1.3 Non-Academic Committees on Financial Exigency. As directed by the President, the directors of non-academic divisions of OSU-CHS shall also establish their own committees on financial exigency. The responsibility of these committees shall include assessing the financial situation within their respective areas for alternative solutions to

problems associated with financial exigency. The President shall designate a chair for each committee who shall report to the OSU-CHS task force within a time limit specified by the President.

2.2 Guidelines for Adjustments. The **OSU-CHS** Task Force on Financial Exigency shall review studies of OSU-CHS's financial obligations and its existing and potential financial resources. This information will be for the use of the President to determine the extent of financial stress within OSU-CHS and will provide a basis for recommending actions required to overcome the crisis condition. An effort shall be made to elicit ideas and suggestions from the general faculty relative to the action to be taken.

2.2.1 Reductions of Administrative and Other Support Services. Curtailment and/or consolidation of administrative and other supportive services shall receive serious consideration and, generally, should precede termination of tenured faculty actively engaged in teaching, research, or extension.

2.2.2 Reduction in Instruction, Research, and Extension. The OSU-CHS task force will review pertinent studies of OSU-CHS's programs and activities in the areas of instruction, research, and extension. In this review, the documents periodically prepared in consonance with OSU Policy and Procedures 2-0215 may be used as a source of information. Each program's achievements, centrality to OSU-CHS's mission, affirmative action goals, and income-generating ability will be considered. A recommendation will be made regarding programs in which decreased effort and financial support for instruction, research, or extension should be seriously considered. This may, in some cases, necessitate the retention of programs with low enrollments and services and activities which are not cost efficient but which are central to the concept of a university and to the mission of OSU-CHS.

2.2.3 Termination of Programs and Services. The task force shall make prompt recommendations to OSU-CHS administration relative to programs and/or services which should be curtailed or discontinued, or positions which should be terminated. The following procedure shall be followed:

- (a) Each academic and non-academic committees on financial exigency will review and provide prompt advice to the task force on which programs and/or services should be curtailed or discontinued within their respective areas or which positions should be terminated.
- (b) The apparent and/or expected effect of the recommended curtailment, discontinuances, or terminations on the institution as a whole shall be examined and documented.
- (c) Hearings will be held inviting statements from persons in programs and/or services directly affected by the recommendations made by the committees.

2.2.4 Report of the Task Force. On the basis of pertinent information, advice, and other considerations, the OSU-CHS task force will submit to the President a prompt report specifying recommendations for overcoming the crisis situation.

2.3 Administrative Due Process Concerning Faculty Affected by Financial Exigency. Recommendations to eliminate positions or programs or to curtail programs and services shall not include termination of the appointment of a tenured faculty member in favor of retaining one without tenure in the same department, except in extraordinary circumstances.

In some cases, an arrangement for early retirement of a tenured faculty member by adding appropriate institutional funds to the individual's retirement income may be worked out with the consent of the faculty member. In other cases, a change from full-time to part-time service may be a feature, though not a complete solution, of an acceptable settlement.

In those cases where there is no realistic choice other than terminating the services of a tenured faculty member, appropriate notice or severance compensation must be given. Provisions for terminal notice or salary are stated in Section 1.13.3 of this policy statement.

In all cases of termination of appointment because of financial exigency, the position of the faculty member concerned shall not be filled by a permanent replacement within a period of three years, unless the released faculty member has been offered reinstatement and a reasonable time in which to accept or decline it.

For every individual whose appointment is proposed to be terminated on the grounds of financial exigency the Provost shall give that individual notice thereof and an explanation of the criteria used in developing the proposed action. If the affected faculty member makes a written request to the Provost, the faculty member shall be entitled to a hearing by the Financial Exigency Termination Appeal Committee, as described below. At the request of the faculty member involved, hearings on similar cases may be combined although every case shall be examined on its individual merits.

The Financial Exigency Termination Appeal Committee shall consist of five members: three faculty members designated by the President of the Faculty Senate, with the advice and consent of the Faculty Senate executive committee, and two members from administration designated by the President. The President will name the chair. The verified report from OSU-CHS administration substantiating that a state of financial exigency exists shall be introduced and deemed conclusive as to the existence of financial exigency.

The Financial Exigency Termination Appeal Committee shall hear statements from the affected faculty member(s), study evidence, and call witnesses to determine:

- (a) the reasonableness of the educational and administrative judgments exercised in determining reduction/termination of programs and criteria used to identify which

appointments are to be terminated; and

(b) whether criteria are being reasonably applied in the individual case.

The Financial Exigency Termination Appeal Committee shall make a written report with advisory recommendations to the President. The President shall review the report and, if termination is deemed appropriate, make final recommendations on personnel actions to the governing Board of Regents for its consideration and decision.

2.4 Emergence from Financial Exigency. The OSU-CHS Task Force on Financial Exigency shall be active during the entire period in which the state of financial exigency exists and during OSU-CHS's emergence therefrom.

The OSU-CHS task force shall continually review the financial state of OSU-CHS and be actively involved in determining when the state of financial exigency no longer exists.

During the state of financial exigency and OSU-CHS's emergence therefrom, the OSU-CHS task force shall be directly involved in decisions relative to the establishment of any new programs and positions, the reactivation or recognition of programs, and the reinstatement rights, if any, of individual faculty members whose appointments were terminated on the grounds of financial exigency.

When it has been determined that financial exigency no longer exists, OSU-CHS shall decide which programs to reactivate and reorganize and endeavor to expeditiously honor the applicable reinstatement rights of faculty members released under financial exigency by offering them a position with a reasonable time to accept or decline it. The OSU-CHS Task Force on Financial Exigency will then be dismissed by the President of OSU-CHS.

Oklahoma State University Center for Health Sciences is in compliance with Title VI and VII of the Civil Rights Act of 1964, Executive Order 11246 as amended, Title IX of the Education Amendments of 1972, Americans with Disabilities Act of 1990, the Rehabilitation Act, and other federal laws and regulations, does not discriminate on the basis of age, race, ethnicity, color, religion, sex, sexual orientation, genetic information, gender, gender identity or expression, national origin, disability, protected veteran status, or other protected status in any of its policies, practices or procedures. This includes but is not limited to admissions, employment, financial aid, and educational services. Title IX of the Education Amendments and OSU-CHS policy prohibit discrimination in the provision of services of benefits offered by OSU-CHS based on gender.

Any person (student, faculty or staff) who believes that discriminatory practices have been engaged in based upon gender may discuss their concerns and file informal or formal complaints of possible violations of Title IX with the OSU-CHS and OSU-Tulsa Title IX Coordinator, Tina Tappana, Director of Human Resources, (918) 594-8105 or Fax 918-594-8449.

Revised April 2022

Revised June 2024