

OSU-CHS Reappointment, Promotion, and Tenure Guidelines

**Oklahoma State University
Center of Health Sciences
College of Osteopathic Medicine
Tulsa, Oklahoma**

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OSU-CHS Reappointment, Promotion, and Tenure Guidelines

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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 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. 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 the Oklahoma State University Center for Health Sciences, use various professional and administrative standards. Accordingly, it is the policy of this Board 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 the OSU-CHS's and the public's legitimate needs and interests. Policy statements of the Board 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 itself, administrators, faculty, staff and students – play differing and complementary roles in effective institutional governance. The Board 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 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's working guideline on consultation with the faculty delineates three areas of interest. They are: (a) those areas of predominate interest (within Board-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 the Oklahoma State University Center for Health Sciences, the Board 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. As permanent changes to this policy statement are considered, it is recognized that there is substantial public benefit in consulting with Board staff, institutional administrators, appropriate faculty, and others before enacting revisions. The Board expects administrators recommending changes to discuss those proposed revisions to this policy statement with the Oklahoma State University Center for Health Sciences' Faculty Council, and others as may be appropriate, before the Board 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 requires the Board to act independently in discharging its responsibility. In such instances, the Board will make every reasonable effort through the official public record and the institutional administration to inform affected personnel of the Board's actions and invite their input for subsequent consideration by the Board.

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's staff so designated or authorized by the Board. Any use of grammatical gender references shall be interpreted as applying equally to males and females.

This policy statement shall become effective as of the beginning of the academic year 2013-14 and shall continue in effect until amended by the governing Board of Regents. 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.

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

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 the Oklahoma State University Center for Health Sciences ("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 Council, 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 Council shall be consulted in the process of reviewing suggestions for improvements in this policy statement. Recommendations for improvements made by the Faculty Council 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.

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 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.

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 Senior Associate Dean for Academic Affairs (hereafter "SADAA") 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 letter of offer, 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 outside activities, 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' 1987 Statement on Professional Ethics.

1.1.4 Academic Freedom. OSU-CHS endorses the general statement on academic freedom, as it applies to state universities, which is embodied in "Academic

³The term "unit administrator", as used throughout this policy statement, refers to those individuals holding the title of department head, department chairperson, 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.

Freedom and Tenure (1940 Statement of Principles)" as drafted by the Association of American Colleges and the American Association of University Professors.

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. Unit administrators are expected to encourage the professional development of each faculty member. Unit administrators shall familiarize each faculty member with the performance standards established by the faculty members of the unit. The unit administrator shall endeavor to provide an environment conducive to the achievement of 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 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 SADAA 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. Individuals designated to conduct the review shall be faculty in the discipline or department of the faculty member under review. Faculty serving on review committees shall be selected by procedures approved by the department or unit. The review process shall include written feedback to the faculty member as well as a provision for response. Written feedback shall be a detailed description of the faculty member's accomplishments or deficiencies. The cumulative review requires individual development plans for each faculty member. Faculty members

are responsible for their own development consistent with unit 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, he/she may request a review of the matter utilizing the Dispute Resolution Procedure set forth in this Policy Statement..

- 1.2 Recommendations for Faculty Appointments, Reappointments, Nonreappointments, 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** It shall be the personal responsibility of the faculty member to demonstrate that he or she meets the applicable qualifications for reappointment, tenure, or promotion.
- 1.2.2** Appropriate unit administrators are charged with the responsibility for recommending appointments, reappointments, non-reappointments, and promotions. They shall obtain appropriate faculty counsel by consulting the unit personnel committee before making recommendations.⁵
- 1.2.3** Normally, the unit administrator shall act in conformity with the appropriate faculty counsel. 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.
- 1.2.4** All recommendations generated by the unit personnel committee and by the unit administrator shall be available to the SADAA 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.

⁵ At the unit level, the body designated by the faculty to provide appropriate faculty counsel on personnel matters shall be referred to in this policy statement as the Unit Personnel Committee.

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

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). 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 Letter of Offer. A statement of the proposed basic terms and conditions of every appointment shall be available in writing and be in the possession of both 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, however, until a formal recommendation has been presented to and officially approved by the governing Board of Regents in accord with the policies of the Board.

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 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.

1.4 Appointment and Tenure for Tenure-Track Faculty.

1.4.1 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 and Board of Regents-approved University affirmative action guidelines. National searches will be conducted

unless an exemption is authorized by the SADAA. 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).

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 1.14, Termination of Appointments.

Tenure is a means by which to insure 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 the University.

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 the University 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 normally⁶ 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 normally⁶ 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** 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.
- 1.4.8.1 Extension of Probationary Period.** A period of appointment and the probationary period of a faculty member may be extended up to three years for extenuating circumstances, e.g. a leave of absence without pay, 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 and SADAA of the college, such an extension may be granted upon approval by the SADAA and the Board of Regents.
- 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 after obtaining appropriate faculty counsel. Such persons shall not be awarded tenure but may be granted professional rights and privileges afforded to the faculty. A person appointed to an adjunct rank may be considered for promotion within the adjunct ranks upon the recommendation of the unit administrator after obtaining appropriate faculty counsel. When adjunct appointments are made, any rights and privileges granted shall be specified on the Employment Action Form and in the letter of offer. If University-wide faculty voting privileges are to be granted, concurrence must be obtained from the OSU-CHS Faculty Council. Unless

⁶ 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.

specially authorized by the SADAA, these titles should not normally be used for persons funded by the resident instruction budget.

- 1.5.2 Clinical Faculty.** Clinical faculty appointments are renewable term, non-tenure track appointments at the rank of Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor. The positions will be used to support and enhance clinical training programs and clinical initiatives at Oklahoma State University. Clinical appointments are intended to offer a career pathway to individuals who have clinical experience and clinical qualifications. All clinical faculty will be expected to provide clinical supervision, teaching, and clinical care. 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.

Unless otherwise specified, all provisions of this Policy Statement shall apply to clinical faculty. Appendix I: Clinical Faculty Basic Standards for Appointment and Promotion further addresses the clinical track faculty.

- 1.5.3 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 letter of offer will state that the appointment will not lead to tenure nor count as part of a probationary period potentially leading to tenure. Recommendations to the President of OSU-CHS shall be forwarded through the SADAA.

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 letter of offer 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. OSU-CHS is not required to provide notice of nonreappointment to persons holding temporary, clinical, or research positions but

their appointments cannot be terminated before the end of the term of appointment except for those causes stated in Section 1.14, "Termination of Appointments" or Section 1.16.2, "Grounds for Dismissal."

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. He/She 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 SADAA may approve such variations in specific individual cases.

1.5.3.1 Scholar, Artist, Executive, and Other Professionals in Residence. Individuals who possess nationally recognized skills and talents may be appointed as a scholar, artist, writer, poet, executive, or other professional titles in residence. The terms of appointment shall normally be for one year and may be renewed after receiving appropriate faculty counsel.

1.5.3.2 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 letter of offer for the permanent position.

1.6 Promotions in Rank. The process of review for promotion in rank shall be initiated by the unit administrator or by the unit personnel committee. To be considered for promotion, a member of the faculty must have been appointed as a result of an appropriate search consistent with Sections 1.3.1 and 1.4.1 unless a waiver is granted by the President of OSU-CHS based on meritorious performance and the best interest of the University. Before granting such a waiver, the President of OSU-CHS should receive appropriate faculty counsel from the OSU-CHS Faculty Council. 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.

Following consideration of appropriate faculty counsel, the unit administrator will decide whether or not 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 he/she might meet criteria for promotion in a subsequent consideration.

The SADAA and President of OSU-CHS shall review each promotion recommended by the unit administrator. The SADAA'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 SADAA 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 SADAA 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 1.5.4) 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, he/she should seek appropriate faculty counsel from the 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 SADAA 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 Nonreappointment.

- 1.7.1** 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 President of OSU-CHS. A faculty member being considered for 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 nonreappointment of faculty members are forwarded to the SADAA 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 SADAA 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 SADAA 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 Nonreappointment. Nonrenewal of a temporary or 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) 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 year; or, if an initial one-year appointment expires during an academic year, at least three months in advance of its expiration.
- (b) For instructors with more than one academic year of service and assistant professors and above, notice shall be given at least twelve months before the expiration of an appointment.

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, he/she may request a limited review of the matter utilizing the Dispute Resolution Procedure set forth in this Policy Statement.

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 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.

Outstanding performance in extension or outreach activities will also be considered.

A nomination for appointment as Regents Professor may be proposed by any tenured member of the OSU-CHS and the nomination seconded by another tenured member of the faculty. The nomination packet will be sent to the SADAA, who will provide 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 SADAA. The SADAA will forward the packet to the Regents Professor Selection Committee. After consideration by both the SADAA 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 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 SADAA 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.

Appendix A

Statement on Professional Ethics

The following statement, drafted by the American Association of University Professors, was endorsed at the Seventy-third Annual Meeting held in June 1987 and appears in the AAUP Policy Documents and Reports, 1990 edition.

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. In the exchange of criticism and ideas professors show due respect for the opinions of others. 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

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

1. All faculty members (teaching, research and extension) are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties and relevant legal requirements; but research funded by agencies external to the University should be based upon an understanding with the authorities of the institution.
2. All faculty members are entitled to freedom in the classroom in discussing the subject of the course, but they should be careful not to introduce into their teaching either controversial matter that has no relation to the subject or actions that violate the rights of students.
3. University faculty members are citizens, members of learned professions, and academic officers of educational institutions. 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 persons of learning and educational officers, they should remember that the public may judge their profession and 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.

Appendix C

Dispute Resolution Procedure

Faculty members who believe they have a qualified employment dispute that warrants filing a petition under provision 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 chairperson of the OSU-CHS Faculty Senate for examination of their objection. The petition shall set forth in detail the nature of the objection 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 chairperson 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 chairperson of the OSU-CHS Faculty Senate shall refer the petition to the Promotion and Tenure Resolution Committee.

3. **Promotion and Tenure Resolution Committee Chairperson.** 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 at the earliest convenient time when all affected parties can be present.
4. **Dispute Resolution Consultant.** At any step in the dispute resolution procedures, the chairperson of the OSU-CHS Faculty Senate--and/or the OSU-CHS Director of Affirmative Action, 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 OSU-CHS Faculty Senate 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 shall be followed.
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, or other extreme hardship. The chairperson 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.

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 chairperson of the OSU-CHS Faculty Senate. The 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) 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.

6.2 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) within seventy-two hours 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.

6.3 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.

- 6.4** 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.
- 6.5** 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.
- 6.6** 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.
- 6.7** 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.
- 6.8** 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.
- 6.9** 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.
- 6.10** 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.
- 6.11** 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.
- 6.12** 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.
- 6.13** 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 chairperson of the OSU-CHS Faculty Senate, the petitioning faculty member, and the respondent administrator(s).

- 6.14** The hearings and the report 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. 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 chairperson of the OSU-CHS Faculty Senate to the parties involved in the dispute, and

- (a) If the dispute is directed against a unit administrator⁷, the report of the Promotion and Tenure Resolution Committee shall be submitted to the SADAA. If the SADAA concurs with the report of the committee, the case will be resolved by the SADAA through the implementation of the committee's recommendations.

If the SADAA disagrees with the report of the committee, the SADAA 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 SADAA's concerns and reviewing new evidence with the parties if necessary and practical. If the positions of both the SADAA and the Promotion and Tenure Resolution Committee cannot be reconciled, the report of the committee and the SADAA's written objections to the committee's report shall be forwarded to the President of OSU-CHS for a decision and action.

⁷ For purposes of the dispute resolution procedure a unit administrator is one who administers the affairs of a unit within OSU-CHS.

- (b) If the dispute is directed against a unit administrator and the SADAA, or against the SADAA only, the report of the Promotion and Tenure Resolution Committee shall be submitted to the President of OSU-CHS.
If the SADAA concurs with the report of the Promotion and Tenure Resolution Committee, the case will be resolved by implementation of its recommendations. Otherwise the SADAA shall return the report to the committee with specific concerns stated in writing.

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

- (c) If the faculty member's petition is directed against the SADAA or against the SADAA and another 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 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's appellate procedure is not automatically granted and that the procedure may be revised by action of the Board of Regents.

"Appeals are allowable only in cases involving tenured professors and disciplinary cases. Appeals arising from other categories may be allowable, at the discretion of the board."

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's Office, located in the Student Union of Oklahoma State University in Stillwater.

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).

Appendix D

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

PURPOSE

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

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

As a land-grant university, Oklahoma State University places primary emphasis on the discovery, integration, application, dissemination, transfer and use of knowledge. Scholarly investigation is the heart of the professorate and it undergirds the mission of the land-grant system. Faculty are expected to participate continually in a broad range of scholarly activities which contribute to current knowledge in their field of expertise and which support the mission and goals of their unit, college, and university. 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 the Oklahoma State University Center for Health Sciences ("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 he/she is being appointed. Faculty members are hired to accomplish objectives of specific academic units and are to be judged accordingly. Consequently, the evaluation of faculty is to be carried out in the context of the faculty member's particular role in the institution with a clear understanding of what is expected of the individual. Accomplishments of the faculty member are judged against these expectations. Promotion in rank recognizes exemplary performance of a faculty member. The evaluation process provides an assessment of a faculty member's growth and performance since initial appointment or since the last promotion.

The evaluation process must be based on a comprehensive assessment of the candidate's record of 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 OCU-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 tenure and promotion to Associate Professor, (2) the indices and standards that will be used to determine whether candidates meet requirements for promotion to Professor, and (3) the goals and expectations to be used in evaluating faculty performance in annual appraisal and developments. The 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 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 SADAA, 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

letter of offer, the position description, and the annual evaluations provide guidance regarding professional development of the faculty member to peers and administrators charged with judging progress toward promotion.

c. *Associate Professor*. To attain the rank of associate professor, the candidate must establish that he/she is an accomplished teacher, where teaching is an assigned responsibility, and that he/she has a significant record of scholarly research, artistic and/or creative work, teaching, outreach/extension and service in keeping with the academic unit, college, and university standards and his or her job responsibilities. Clear evidence should be presented that the individual has established a solid academic reputation and shows promise of further development and productivity in his or her academic field.

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

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

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

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

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

PROCEDURES

1.0 OVERVIEW OF THE RESPONSIBILITIES OF PARTICIPANTS IN THE RPT PROCESS

Operationally, the function of the RPT process is to determine whether each candidate has met the detailed academic qualifications and criteria specified by his/her unit. In this process, the candidate, unit personnel committee, unit administrator, the RPT Committee of the OSU-CHS Faculty Senate, the SADAA 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. (*Policy Statement*, Section 1.2.1, Retention and Advancement) To carry out this responsibility, the candidate must develop, in cooperation with the unit administrator, a file documenting that each of the detailed qualifications and criteria of the unit have been specifically achieved. The "Development of the RPT Documentation File" form lists the documentation that must be included and should be used as a guide in the development of the file.

In the review process, some of the reviewers may not personally know the candidate and will rely exclusively on materials included or referred to in this file as the basis for their recommendation. The candidate must not assume that the reviewers will know that he/she is an excellent teacher, scholar and colleague. It is essential that the candidate include in the file all the materials necessary to document and affirmatively establish that he/she has met all applicable criteria and qualifications.

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

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

- a. 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. 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.
- 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 Department Chair and Provost/Senior Associate Dean 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 unit personnel committee in the year of their application.
- f. The following administrators cannot serve on the UPC: President, Provost, or Senior Associate Dean.
- g. All voting members of the UPC are required to sign the UPC recommendation letter to the Department Chair.

In addition to these recommended changes to the RPT Guidelines, the RPT Committee recommends that the RPT Guidelines for tenured faculty consist of minimum standards across departments.

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

OSU-CHS Reappointment, Promotion, and Tenure Committee ("OSU-CHS RPT Committee"): The college-level committee is responsible for providing the SADAA with a professional opinion about the qualifications of the candidate for appointment, reappointment, promotion or tenure. 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 department chair 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 SADAA 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.

Senior Associate Dean for Academic Affairs (“SADAA”): The SADAA has several vital responsibilities both prior to and during the evaluation process. He/She works continuously with departments, making sure the academic unit standards for reappointment, promotion and tenure are clear and consistent with the level of excellence expected in the college and university and that the department's emphasis on differing aspects of faculty activities matches the role the department plays in OSU-CHS. He/She provides explicit and detailed guidance regarding the type and quality of documentation that will be required of candidates whose applications for reappointment, promotion and tenure are to be forwarded to the President of OSU-CHS.

Upon receiving recommendations from departments, the SADAA, with input from the RPT Committee of the OSU-CHS Faculty Senate, shall carefully review the candidate's documentation file, including the recommendations of the unit personnel committee and unit administrator. He/She shall make a professional assessment regarding whether (1) the department's evaluation of each candidate has been rigorous, fair and based on departmentally approved criteria and standards, (2) the documentation provided adequately supports the recommendations of the unit, and (3) the action recommended by the unit is warranted. Additionally, after reviewing the candidate's materials, including all internal and external input, the SADAA's recommendation letter shall reflect his/her professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure. This written report will be added to the documentation file and forwarded to the President of OSU-CHS as part of his/her 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 the University have been applied fairly to each individual. Additionally, the recommendation of the President of OSU-CHS shall reflect his/her professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure and will be submitted to the President of the OSU System for recommendation to the Board of Regents.

2.0 REAPPOINTMENT, PROMOTION AND TENURE PROCESS

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

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

* Section 1.7, Reappointment and Non-Reappointment

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

The following steps are taken at OSU-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 SADAA 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 OSU-CHS's memorandum and departmental report is shared with the unit administrator.

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

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

(1) Academic appointments normally coincide with the beginning of the academic year (September 1 for 9-month appointments or July 1 for 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 the University, beginning with the initial appointment to a tenure-track position. Any credit for prior service included within the seven-year probationary period shall be agreed upon in writing at the time of employment.

(2) *Instructor*. Faculty are appointed to the rank of instructor initially 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.

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

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

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

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

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

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

The second action occurs during the sixth year in rank as an assistant professor. Options are: (1) promotion to associate professor which confers tenure or (2) non-reappointment.

The non-reappointment would be effective at the end of the seventh year in rank and provides the required one year's notice of termination.

(4) *Associate Professor*. When an individual is initially appointed at OSU into the rank of associate professor (without tenure), the initial appointment period is normally for five years. During the fourth year in rank a recommendation must be made to: (1) reappoint as associate professor which confers tenure; (2) promote to professor which confers tenure; or (3) not reappoint and give the required one year's notice of termination. A special tenure review may be made after one year of service (see *Policy Statement*, Sections 1.4.5 and 1.4.2.d). In extraordinary circumstances tenure may be expressly granted at the time of initial appointment.

(5) *Professor*. When an individual is initially appointed to the rank of professor, tenure is often granted at the time of appointment. However, a probationary period, not to exceed three years, may be specified. If a probationary period is specified, then a special tenure review must be completed at least one year before the end of the probationary period, so that the required one year's notice of termination can be given should the review result in a decision not to grant tenure.

(6) Any action recommended by the unit administrator which is prior to the normal time line outlined in this section is considered an *early action*. Positive early actions will require justification based on *exceptional* performance.

b. *Verification of RPT Report*. To help maintain confidence in the Departmental Faculty Reappointment and Tenure Report, it is the responsibility of the SADAA and unit administrator to examine the departmental reports for completeness and accuracy. The SADAA 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 SADAA'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 SADAA.

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

Faculty members should be notified by the unit administrator on or about September 15 that they have through January 15 to assemble and submit materials believed helpful to a full review. It is the responsibility of the faculty member and the unit administrator to prepare a documentation file clearly summarizing the

history of the faculty member's appointment before any deliberations begin regarding reappointment, promotion and/or tenure.

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

a. The unit administrator must ensure that all dates of academic appointments, reappointments and promotions while at OSU-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 letter of offer, 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 SADAA, the SADAA'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 specify clearly the relationship of each external reviewer to the candidate and should contain a brief description of each external reviewer and his or her credentials. All solicited external review letters received before the deadline must be included in the file.

All units shall solicit outside reviews as a part of the RPT review process and shall develop rules for solicitation of such reviews that are consistent with policies of 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 unit personnel committee should also provide names; and from these two lists a group of at least three should be selected in a fair and objective manner for contact. The candidate may also specify the names of persons who should not be considered as possible reviewers, provided he or she specifies valid personal or professional reasons for the exclusion.

External review letters will be used by departmental personnel committees, unit administrators, the SADAA, 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 be careful to allow sufficient time to gather outside peer review letters so that they can be included in the file by January 15.

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

c. The following materials for the RPT documentation file should be provided by the faculty member. This is intended to be a minimal list of items to be provided, not necessarily a listing of the *only* items to be included.

(1) A current vita including a complete list of publications, instructional accomplishments, other creative activities and important achievements should be provided by the faculty member. Reprints of publications need not be included; however, it is helpful if the faculty member designates which publications are in refereed journals. Documentation of instructional accomplishments could include teaching awards, peer evaluations, course syllabi and tests, student evaluations, other testimonies, etc.

(2) Self-assessment statement(s) on instruction, research/creative work, outreach/extension, and/or service/professionalism activities are to be provided, as appropriate to the work assignment, by faculty members being considered for promotion and/or tenure.

d. With the exception of peer review letters which the faculty member has waived his/her right to access, all materials in the documentation file should be available for review by the faculty member. Peer review letters should be placed in a colored file folder with the signed waiver form attached to the outside of the folder.

e. If the faculty member finds that information provided by the unit administrator is incomplete or inaccurate or if there is additional documentation he/she would like reviewed, documentation should be added by the candidate to clarify and complete the file prior to the signing of the RPT form.

f. The faculty member signs the RPT form, Section 3, which indicates that he/she has been given the opportunity to review the materials contained in the documentation file up to this point in the process, including all materials submitted by the unit administrator and faculty member, and that the file is complete. Such signature *does not* indicate that the faculty member agrees with the substance of each document. Deliberations about the recommendation on the candidate will not begin until the file is complete; therefore, the Statements of Recommendation from the unit personnel committee, unit administrator, the OSU-CHS RPT Committee, and SADAA *are not* included in the file at this point in the process.

2.3 Adding Additional Materials to Documentation File

a. Materials can be added to/deleted from the documentation file until the unit personnel committee recommendation concerning the action is made. However, both the candidate and the unit administrator *must* be informed of the changes and be provided an opportunity to make additional modifications.

b. Appraisal and development materials covering the period of time from the last appraisal and development document through the most recent fall semester shall be added to the RPT documentation file as soon as finalized. These documents shall be considered by the unit personnel committee and unit administrator prior to making their recommendations. It is expected that this most recent material may have to be added to the file *after* the RPT documentation file is otherwise complete, and *after* the faculty member has signified in writing that the file is otherwise complete; however, unit administrators should make strenuous efforts to complete the latest A&D review for each candidate by January 15. No new documentation regarding faculty performance or accomplishments occurring after the end of the immediately preceding calendar year may be added to the file.

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

d. The candidate will be provided one opportunity to respond to a negative Statement of Recommendation and to have that response added to his/her RPT packet. The candidate will have three working days following receipt of the *first* Statement noting denial of the proposed action to formulate a response no longer than 1,000 words. The candidate will submit his/her response to the next higher review level, i.e., if the Statement noting denial is received from the department head, the response will be submitted to the SADAA'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 his/her department head informed of his/her whereabouts during this critical review process.

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

2.4 Reviewing Documentation File and Statements of Recommendation

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

On or About January 15 - February 14

a. *Appropriate Faculty Review.* Appropriate faculty counsel is sought when the unit personnel committee or a special or permanent committee of faculty for the academic unit involved is to review all pertinent data for those individuals who are being considered. The committee evaluates each individual's contributions in the three major areas of instruction, research/creative work, and outreach/extension, as appropriate. This evaluation is extensive, for the decision will have a direct bearing on the welfare of both the individual and the department. Consequently, the committee members will analyze annual appraisal forms, student evaluation summaries, journal articles and other publications, research results, and other outputs that can assess the individual's status as a professional. Standards established in the academic unit for quality as well as quantity are a matter of professional judgment in the discipline relative to the mission and role of the unit within the college and university.

After deliberating, the unit personnel committee shall prepare a Statement of Recommendation regarding reappointment, promotion and/or tenure for the faculty member. The statement must address, in specific terms, how the faculty member has or has not satisfied applicable academic unit, college, and university standards for promotion, tenure or reappointment. This statement must

be added to the candidate's RPT packet prior to review by the unit administrator. Additionally, the chair of the unit personnel committee or an appropriately elected representative of the faculty will record the committee's recommendation on the RPT Summary of Recommendations form, along with his/her signature.

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

b. *Unit Administrator Review.* The unit administrator's Statement of Recommendation to the SADAA 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 SADAA.

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

If a faculty member has a split appointment, the Statement of Recommendation is to be completed by the unit administrator of the home department after consulting with the other unit administrators to whom the faculty member reports. All relevant unit administrators are expected to sign or initial the statement. If they disagree significantly with the recommendation, the matter shall be brought to the attention of the SADAA 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 Reappointment, Promotion/Tenure Recommendation Form is complete and that all appropriate documentation is attached. (2) Preparing the Employment Action form for the proposed personnel action.

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

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 SADAA 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 unit personnel committee recommend against the proposed action, that individual's documentation file will not be forwarded to the SADAA for further consideration unless the candidate requests otherwise. However, if the unit administrator and the unit personnel committee do not agree on a recommendation, the documentation file will be forwarded to the SADAA 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 his/her 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 who have candidates who wish to be reconsidered earlier must demonstrate to the SADAA that the candidate has made substantial accomplishments since the last consideration before the review process is initiated. After review by the SADAA 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 forward to the SADAA along 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 SADAA. Additionally, the chair of the committee or an appropriately elected representative will record the committee's recommendation on the RPT Summary of Recommendations form, along with his/her signature.

A copy of the 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. *Senior Associate Dean for Academic Affairs Review.* The SADAA, after reviewing all materials and other recommendations, submits his/her 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 SADAA's recommendation letter shall reflect his/her professional judgment about the qualifications and merit of the candidate for reappointment, promotion or tenure. If the recommendation of the SADAA is that the action recommended by the appropriate faculty counsel or unit administrator is not warranted, the reasons must be explained in the statement. This statement shall include any confidential information that conditions his/her recommendation. Even if the recommendation of the SADAA agrees with that of the unit personnel committee and unit administrator, the SADAA is nevertheless encouraged to include in the documentation file a written statement setting forth rationale for his/her recommendation. The SADAA's Statement of Recommendation must be added to the candidate's documentation file, along with his/her notation of recommended action and signature on the RPT Summary of Recommendations form. The SADAA 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 forward to the President of OSU-CHS with all requested documentation, if the SADAA's recommendation is for non-reappointment.

A copy of the SADAA'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.

f. *Administrative Review.* Recommendations and documentation are submitted for review by the President of OSU-CHS. In the process of his/her 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 his/her final deliberations.

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

It is the responsibility of the 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 his/her 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 SADAA, the President of OSU-CHS is responsible for communicating in writing to the SADAA, unit administrator, and faculty member the reasons for the disagreement.

A copy of the President of OSU-CHS' 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 University administration recommends to the Board of Regents for final action. Reappointments, promotions and confirmation of tenure must be approved by the governing Board of Regents except as authorized by Board of Regents' policies (e.g., see June 22, 1979, Board of Regents' policy statement). Normally, recommendations are submitted to the Board of Regents for consideration during a June meeting. When approved, the Board specifies the date on which the reappointment, promotion and/or tenure will become effective.

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

2.5 Recording Effective Dates

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

- a. Reappointment to the rank of instructor is effective the *same calendar year* the RPT review is completed and on September 1 of that year for faculty on 9-month appointments or on July 1 for faculty on 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.

2.6 Providing Feedback to Faculty on Final RPT Action

a. The SADAA 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 approval will be sent to each faculty candidate from the SADAA and/or unit administrator relaying the final decision of his/her reappointment, promotion and/or tenure action. This notification should occur as soon as practical after, but normally within five working days of, the completion of the regularly scheduled meeting of the Board of Regents, typically in mid- to late June.

c. Once Board approval is secured on RPT actions, all documentation files will be returned to the SADAA 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 respective SADAA's office by the VPAA's office, the external peer review letters will be removed from the file and will be retained in the SADAA's office (or college personnel office).

(1) All external review letters, accompanied by the signed waiver, will be placed in a sealed envelope in the faculty member's personnel file, normally located in the college fiscal office.

(2) Each folder will have a notice affixed stating that these are confidential letters and may not be read by the individuals who waived their rights.

(3) Authorization to access these letters must be obtained in writing from the SADAA (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 Senate: May 16, 2013

Board of Regents: December 6, 2013

General Faculty Senate: May 10, 2018

Appendix E

OSU-CHS Criteria for Promotion and Tenure

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 not be considered for promotion prior to 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 not be considered for promotion prior to the fourth year in rank. 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 F

OSU-CHS Instructions for Department Chairs

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 cover 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 conducts of his/her 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.

Appendix G

Timeline

DATE/BY:	ACTION	RESPONSIBILITY
September 15	Chairs receive report of faculty due for an RPT decision	SADAA, 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	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.	Chair
November 30	Chair assembles external letters received or further solicits required letters.	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.	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 his/her 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 Chair of P & T, gives copy of letter to faculty candidate, includes letter and RPT form in RPT packet and send the original packet to the SADAA	Chair
February 28	Chair of P & T Committee checks RPT packet for completeness, convenes P & T meeting, distributes copies of RPT packet to P & T members, holds meeting and votes on recommendation, writes statement of recommendation to the SADAA, sends copy to faculty member, adds statement to RPT and forwards complete original RPT packet to SADAA's office	Chair, P & T
March 15	SADAA completes final review of RPT document, writes letter of recommendation, sends copy of letter to faculty candidate and Chair of P & T, forwards complete RPT documentation to OSU-CHS President of OSU-CHS	SADAA

Appendix H

OSU-CHS RPT Documentation Instructions for Faculty Candidate

Please submit your complete CV first 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 IIc-h should be included, followed by the three sections: (1) Teaching; (2) Research (scholarly activity) and (3) Service. Items listed below are not exhaustive; other relevant material may be included. Include 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 Chair.

A. Teaching

1. Topics and hours taught in classroom, laboratory/practica, 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. 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.

Appendix I:

Clinical Faculty Basic Standards for Appointment and Promotion

Faculty with clinical-track appointments primarily contribute to patient care and clinical teaching. University service on committees and other such duties is not expected but may be undertaken by mutual consent of the clinical faculty member and his/her department chair. Likewise, research and scholarly activity is not expected but may be undertaken with the mutual consent of the clinical faculty member and his/her department chair.

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 educator should be given consideration when appointed to this rank.
2. **Clinical Assistant Professor:** Appointment or promotion to this rank will be based on potential as a clinician and educator. 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 his/her discipline. The individual 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 clinical 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 clinical 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. 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 clinical 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 his/her field and is recognized regionally and/or nationally. Physician faculty must be certified or possess comparable credentials in 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. Clinical skills and clinical teaching should be of the highest quality.

For promotion to this rank, the individual should show evidence of sustained and superior contributions to the clinical strength, educational mission, or leadership in the department.

Guidelines for Clinical Faculty Track Appointments

- 1. Procedures for recruitment:** A national search will not be required when recruiting for a clinical faculty position and will be determined at the discretion of the department chair and SADAA.
- 2. Initial appointment:** Initial academic rank is based on evidence that the faculty member has met the qualifications for the rank to which he/she is being appointed. An applicant's qualifications for a clinical track appointment shall be assessed by department chair, 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 department chair and SADAA, following appropriate departmental faculty counsel and based on availability of funds. The length of appointment shall be stated in the letter of appointment. Appointments automatically expire at the time specified in the original appointment letter or previous reappointment action.
- 4. Reappointment process:** Appointments are renewable, although the University 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.
- 5. Non-Reappointment process:** 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 at least three months before the expiration of the appointment.
 - For clinical faculty with more than one year of service, notice shall be given at least 12 months before the expiration of an appointment.

Recommendations to reappoint or not reappoint shall originate with the department chair after obtaining departmental faculty counsel. Normally, recommendations shall be in response to a routine notice from the office of the

SADAA. 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, he/she may request a limited review of the matter utilizing the Dispute Resolution Procedure. The promotion and tenure 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, a faculty member's clinical competence, teaching competence, collegiality, clinical 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 (see section 3.2 below) or in exceptional cases that are fully justified by additional documentation. Contingent upon reappointment, the schedule of eligibility to seek promotion is as follows:

- promotion to rank of clinical associate professor: eligibility during seventh year in rank as clinical assistant
- promotion to rank of clinical professor: eligibility during fifth year in rank as clinical associate

A formal promotion in rank review process, similar to that done for tenure track faculty, will be done using the same reappointment, promotion, and tenure (RPT) documentation packet and procedure as that used for tenure track faculty (with appropriate modifications for service and research/scholarly activity). Denial of promotion does not alter continued clinical faculty status at the present rank should such reappointment be made.

- 2. 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, department chair, and SADAA. The original letter of appointment shall contain specific information regarding any years credited toward the timeline for promotion eligibility, contingent upon renewal of appointment.

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:

1. 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

1.1 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.

2. 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

2.1 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.

3. **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.
4. **Research and Scholarly Activity:** Research and Scholarly Activity 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.

Guidelines for Changes in Faculty Track

1. **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.
 - 1.1 **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 department chair and SADAA. If no credit is requested or awarded, the pre-tenure probationary period will begin at the time of the tenure-track appointment.
2. **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.
3. **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.
 - 3.1 **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 department chair and SADAA. If no credit is requested or awarded, the timeline for promotion eligibility will begin at the time of the clinical-track appointment.

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

- 3.2 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.

**WAIVER OF RIGHT TO INSPECT AND REVIEW CONFIDENTIAL
LETTERS OF RECOMMENDATION**

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)

<p align="center">OKLAHOMA STATE UNIVERSITY CENTER FOR HEALTH SCIENCES REAPPOINTMENT, PROMOTION/TENURE RECOMMENDATIONS FORM DEVELOPMENT OF THE RPT DOCUMENTATION FILE</p>
--

NAME OF FACULTY MEMBER: _____

	RECOMMENDED ACTION⁸	<u>SIGNATURE</u>	<u>DATE</u>
Department Faculty Counsel:	_____	Faculty Representative ⁹	_____
Department Chair:	_____	_____	_____
OSU-CHS RPT Committee:	_____	(Committee Chair)	_____
SADAA:	_____	_____	_____
Provost:	_____	_____	_____

1. INFORMATION CONCERNING THE RPT ACTION:

⁸Reappointment, promotion, tenure, nonreappointment, no promotion.

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

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 Oklahoma State University: _____

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 department chair 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 department chair, not necessarily a listing of the *only* items to be included.

- a. Listing of academic appointments, reappointments and promotions at Oklahoma State University

<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 the University (teaching, research, extension, service, administration, and/or advisement) during the time 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.
 - _____ 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 his/her 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 he/she 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 his/her 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 his/her 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. **Department Chair:** 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 department chair. 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 department chair.

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 college personnel committee or a special or permanent committee of the respective academic college. 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. **SADAA:** If the recommendation of the SADAA differs from that of the department faculty counsel and/or department chair, the reasons must be explained in the Statement of Recommendation. Even if the recommendation of the SADAA agrees with that of the departmental committee and unit administrator, the SADAA is encouraged to include in the documentation file a written statement setting forth rationale for his/her recommendation.

OSU-CHS Reappointment, Promotion and Tenure Check List

[Carefully Read and Complete the Following Application]

Faculty Member (candidate's full name): _____

Department: _____

This RPT Request is for:

Reappointment as (show rank): _____

☐ Tenure Track

☐ Clinical Educator Track

or

Promotion to:

☐ Associate Professor

☐ Professor

☐ Tenure Track

☐ Clinical Educator Track

If Tenure Track then:

☐ With Tenure

☐ Without Tenure

Employment Status:

☐ Full-time

☐ Part-time

Documents required:

- Letter of Request for consideration from Department Chair ☐ 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: ☐ signed ☐ dated
- Items that must be included in the submission package:

(Check each item)

☐ Current Curriculum Vitae

☐ Statement of research accomplishments

☐ Initial Appointment Documents

☐ Statement of teaching service and evaluation

☐ Self-Assessment

☐ Copy of Departmental Policy & Procedure for P&T

☐ Annual Reviews

☐ Points Calculation (if applicable)

☐ Statement of services rendered

☐ External Letters of Recommendation***

(minimum of 3) (For Promotion with tenure only)

* **All documents must be compiled as a single hard copy in a three-ring binder under five tabs (see binder tab order below) and the entire dossier must also be submitted as an electronic document (pdf file) with bookmarks that match the hard-copy tabs.**

- **
- a. Faculty Counsel to be composed of tenured faculty members from within candidate's department
 - b. If there are too few tenured faculty in the department to create an effective faculty counsel, tenured faculty from other departments may be chosen, with the approval of the department chair.
 - c. If the candidate is also the department chair, then faculty counsel is selected under the direction of a substitute unit administrator, appointed by the Senior Associate Dean for Academic Affairs.
- ***
- 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 prior.
 - b. The sources of external letters of recommendation should be approved by the department chair (unless the candidate is the chair, then approval must be by the Senior Associate Dean for Academic Affairs).

BINDER TAB ORDER

<p>Tab 1</p> <p>Form 1 Summary of Recommendations Form 2 Documentation Form Form 3 RPT Checklist (this form)</p>	<p>Tab 4</p> <p>Self-Assessment Statements of Service, Teaching, Research Annual Appraisals Department RPT Policy & Procedure</p>
<p>Tab 2</p> <p>Dean's Letter of Recommendation P & T Committee Recommendation Chair Recommendation & Support Letter Faculty Counsel Letter</p>	<p>Tab 5</p> <p>1. Waiver of Right to Inspect 2. External Letters of Recommendation (provided by department chair if Waiver of Right to Inspect is signed "yes")</p>
<p>Tab 3</p> <p>Current Curriculum Vitae Initial Appointment Documents</p>	

The 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 or benefits offered by the University 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 Title IX Coordinator, [Tina Tappana, Director of Human Resources, Title IX Coordinator, Oklahoma State University, Center for Health Sciences and OUS Tulsa, (918) 594-8105 or Fax 918-594-8449.]