

COLLEGE OF ARTS AND
SCIENCES

PERSONNEL PROCEDURES

11/24/2020 (revised version)

College of Arts and Sciences Personnel Procedures

Personnel Procedures - A General Statement

Under policies set by the Board of Regents for Oklahoma State University and the A and M Colleges, decisions on employment, retention, promotion, and salary increases are the responsibility of administrators, through channels, from unit administrator to the President. However, within the College of Arts and Sciences, a faculty personnel committee has been established in each academic unit to advise and to counsel on personnel matters. This practice is essential for the development of a strong faculty within the College (see attached Preface). This document contains three sections:

SECTION ONE: Personnel Committees

SECTION TWO: Guidelines on the Composition and Operation of Personnel Committees

SECTION THREE: Timeline and Deadlines for the Reappointment, Promotion and Tenure Process.

SECTION ONE: UNIT PERSONNEL COMMITTEES

Policy

Consistent with the University's affirmative action efforts and good management practices, as well as to allow faculty members to exercise their rights and responsibilities in this area, it is University policy that there be faculty input into all personnel decisions significantly affecting the academic unit. Arts and Sciences College policy has established a personnel committee in every academic unit.

Procedure

1. Each academic unit (department or school) is given considerable latitude in determining the structure, operational procedures, and areas of concern of its personnel committee. For matters having to do with promotion and tenure, these personnel committees shall be in conformity with the College "Guidelines on the Composition and Operation of Personnel Committees" (see SECTION TWO).
2. Each appropriate unit administrator shall make all pertinent documentation available to the personnel committee, including affirmative action guidelines. The personnel committee may also secure documents.
3. The personnel committee shall make its recommendations in writing to the unit administrator.
4. A specific function of unit personnel committees is to ensure that reasonable standards are used in personnel evaluations in the various disciplines during the reappointment, promotion, and tenure review.

5. Each academic unit shall have on file in the Dean's office documents covering the membership of its personnel committee (i.e., eligibility, composition, term of office, selection procedures) and any generalized or specific criteria that have been developed for given types of personnel decisions.

SECTION TWO: GUIDELINES ON THE COMPOSITION AND OPERATION OF PERSONNEL COMMITTEES

Every academic unit shall prepare and have on file in the Dean's office a copy of its guidelines for reappointment, tenure, and promotion. These documents shall be consistent with A&S Policies and Procedures and with University policy. The documents shall include, as a minimum, specific unit policies concerning:

- I. The composition and operation of the personnel committee;
- II. Documentation necessary to be sent to the Dean's Office in cases of reappointment, tenure, or promotion;
- III. Levels of achievement necessary for tenure and promotion;
- IV. Means by which quality is to be assessed, including external peer review;
- V. Means of establishing time in rank and prior service;
- VI. Assessment of academic need as criteria for reappointment, promotion and tenure;
- VII. Department goals and objectives in establishing criteria for tenure and promotion.

These seven areas are considered in detail as subsections I - VII below.

I. COMPOSITION AND OPERATION OF PERSONNEL COMMITTEES

Personnel committees are essential for the fair and reasonable conduct of departmental affairs. They create a climate of representational or participatory democracy that is crucial to an academic environment and provide a measure of protection for all parties involved in key decisions concerning faculty. For these reasons, the following rules shall apply:

1. Establishment

Every academic unit shall have a personnel committee with at least three voting members, elected from its faculty for specific terms of office. The unit's RPT (reappointment, promotion and tenure) document provides guidance on voting eligibility for all faculty in the unit including non-tenure track faculty. Voting faculty members for reappointment, promotion, or tenure must be at the same level as, or above, that being sought by the candidate (both tenure and non-tenure track). Reappointment, promotion, and tenure votes in cases involving a candidate in a tenure track faculty position will only be made by tenured faculty.

Reappointment and promotion votes in cases involving a non-tenure track faculty position will be made only by non-tenure track faculty of a higher rank than that of the candidate and by tenured faculty of any rank. University Policy 2-0905 shall be followed in awarding a professor the title and rank of Regents Professor. In addition, faculty members (both tenure and non-tenure track) applying for reappointment, promotion, tenure, or seeking faculty counsel from the personnel committee should also be excluded as well as those who are a family member of the candidate (both tenure and non-tenure track). In cases where the department definition of the unit personnel committee includes excluded faculty (e.g. committees of the whole), the excluded faculty shall not be present at the meeting in which their case is discussed nor can they vote on their case. If a unit cannot find a sufficient number of voting faculty members, the unit administrator, in consultation with the eligible faculty members, will solicit faculty from similar departments or disciplines at the University to assist the committee with both the review and recommendation.

2. Representation

Personnel committees shall be elected and have the widest representation of faculty subject to the restrictions outlined in the previous paragraph and University Policy 2-0902. Although non-tenure track faculty cannot serve on personnel committees that are considering matters of reappointment, promotion and tenure of tenure track faculty members, they can serve on personnel committees considering the reappointment and promotion of non-tenure track faculty. In any personnel action considering the reappointment and promotion of non-tenure track faculty, the personnel committee must contain at least one non-tenure track faculty member of a higher rank than the candidate. If a unit has no other non-tenure track members see the last sentence of the preceding paragraph.

3. Action

Personnel committees shall entertain requests for promotion and tenure as they come from individual faculty members, from the committee itself, or from the head of the academic unit. They shall act on these matters according to established academic unit, college, and university policies, and then forward their recommendation to the unit administrator.

In the event that the unit administrator is a candidate for reappointment, promotion and/or tenure, the Dean of the College of Arts & Sciences will, in accordance with University policy, appoint a senior member of the faculty from that department to serve as an “acting” unit administrator for this purpose only. This person will perform all duties associated with the unit administrator in the reappointment, promotion and/or tenure process.

4. Confidentiality

All discussions of a personnel committee shall be confidential.

5. Notification of the Candidate

The candidate (both tenure and non-tenure track) shall be notified whenever he or she is to be considered for tenure or promotion, and shall be invited to submit evidence supporting the candidacy. The candidate (both tenure and non-tenure track) shall be

provided copies of all recommendation letters coming from the unit's personnel committee and administrator as they are submitted.

II. DOCUMENTATION SENT TO THE DEAN'S OFFICE

The documents that shall be forwarded to the Dean's Office and subsequent levels of administration are those indicated by the official Oklahoma State University Reappointment, Promotion/Tenure Recommendations Form, "Development of the RPT Documentation File", and by OSU Policy & Procedures 2-0902. The A&S College also requires the following:

1. Vita for the Individual

The vita shall describe in a professional manner the totality of accomplishments of the individual, as opposed to the individual's most recent contributions.

2. Peer Review Letters

For tenure track candidates for promotion and/or tenure, at least three letters from external reviewers shall be included in the documentation file. Letters are not required for non-tenure track faculty or for reappointment. Candidates may opt to waive their right to see their external peer review letters. Notification in the form of a signed statement will be given to reviewers as to whether or not the candidate in question has signed the waiver. External review letters will be used by departmental personnel committees, department heads, deans, and other University administrators for personnel decisions, such as tenure and promotion. The unit personnel document shall define how the external reviewers are selected and contacted by the Unit. The external review letters should provide an assessment of the candidate's creative and scholarly activities with any additional detail specified in the unit personnel document.

Of the external review letters, at least three 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). Judgment should be exercised as to what constitutes "direct professional or personal interest" (for example, in cases where the reviewer shares a publication with a large number of authors or where the publication is from an expert panel report). Similarly, letters from the candidate's dissertation advisors or letters from former students, although they may be useful for other purposes such as indicators of teaching quality, should not be counted towards the three. All external review letters shall be included in the RPT packet.

3. Solicitation of Unit Input

Unit (written) input shall be solicited by the chair of the personnel committee from the unit faculty at least ten days in advance of the first meeting of the committee to consider the candidate's file. The committee shall consider this input in their deliberations. This input shall not be placed in the candidate's file and the chair of the unit personnel committee will maintain this input until the conclusion of the RPT process. Candidates may opt to waive their right to see these internal faculty comments. Notification in the form of a signed

statement will be made available to unit faculty as to whether or not the candidate in question has signed the waiver.

4. Supporting Evidence

An appraisal and development (A&D) document through the fall semester immediately preceding the reappointment or promotion recommendation shall be considered. A limited amount of evidence concerning the candidate's qualifications may be included in the documentation file. Such evidence may include, but is not limited to, letters from former students, published reviews of the candidate's work, or internal peer review letters. A copy of the academic unit's criteria shall be included with the supporting evidence.

Candidates (both tenure and non-tenure track) for reappointment or tenure shall include all A&Ds since their initial appointment to OSU. Candidates (both tenure and non-tenure track) for promotion only shall include the past 5 years' A&Ds.

5. Copy of a Letter from the Personnel Committee to the Unit Administrator Concerning the Action

All solicited unit input will be addressed in the letter of the personnel committee, either by noting its receipt or referencing it in the rationale for the recommendation. The numerical vote of the committee on the recommendation must be stated. If the vote is not unanimous, the minority opinion will be stated within the letter. If more than one vote is taken, the numerical results of only the final vote will be recorded. The letter is to be signed by all voting members.

The candidate has three working days from the receipt of this letter to respond in writing (maximum 1,000 words) to a majority negative recommendation from the committee. This response should be submitted to the unit administrator, and included in the documentation file for the candidate.

6. Letter from the Unit Administrator to the Dean Concerning the Action

This letter is to set forth the unit administrator's reasons for recommending or denying approval of the action in question. Where the position of the candidate is specialized, differing significantly from the normal assignments within the academic unit, this shall be detailed. A copy of the letter shall go to the personnel committee and the candidate.

III. LEVELS OF ACHIEVEMENT FOR TENURE, PROMOTION, AND REGENTS PROFESSOR APPOINTMENTS

1. The Concept of Tenure

The Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University (hereinafter referred to as "The Policy Statement") states "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." Tenure may be revoked only for the reasons specified in The

Policy Statement and according to the procedures articulated there. This means that the granting of tenure is an extremely serious commitment of the University and shall not be recommended by an academic unit unless it is confident that the University would surely benefit if the candidate were to spend his or her remaining career at Oklahoma State University.

For non-tenure track faculty, appointments are renewable although the university does not accrue any obligation to renew the appointment. Appointments for non-tenure track faculty will automatically expire at the time specified in the offer letter. Privileges regarding faculty governance at the academic unit level shall be determined by the unit in which the non-tenure track faculty member resides. Individuals may be afforded the opportunity to serve on departmental, college, and University committees. Non-tenure track faculty may not serve on the College RPT Committee.

2. The Concept of Promotion

Promotion is the changing of a faculty member's academic title to that of a higher rank. Promotion shall be granted only when it is judged that a candidate (both tenure and non-tenure track) is already performing at the quality level of the next higher rank.

3. Guiding Principle

Every tenure track candidate for promotion and/or tenure must meet or exceed departmental expectations in at least two of the three mission areas of the University: teaching, scholarship, and extension/service/outreach. Non-tenure track faculty are evaluated based on their identified responsibilities. The RPT process depends on the professional judgment of the reviewers. Meeting the minimal expectations does not guarantee promotion or tenure. Academic units may designate in their general policy guidelines that scholarship and teaching are of paramount importance. Such performance constitutes a minimum level that permits consideration for reappointment, promotion, or tenure; meritorious performance in two areas does not guarantee a favorable employment action by the University. The Policy Statement states "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." Job assignments must be consistent with the promotion and/or tenure criteria of the academic unit. Exceptions to these guidelines must be approved by the Dean.

4. Reappointment as Assistant Professor

Criteria for reappointment to the Assistant Professor level are based on performance standards defined in the unit personnel document.

It is the usual practice of the College of Arts & Sciences to grant tenure to Assistant Professors only by promotion to Associate Professor. Tenure shall not be granted to Assistant Professors without promotion to the next rank.

5. Promotion to Associate Professor

Promotion to Associate Professor confers tenure.

6. Tenure for Associate Professors

A unit's guidelines for reappointment, promotion and tenure shall specify separate criteria for reappointment as Associate Professor with tenure for individuals who were initially hired without tenure at that rank. An Associate Professor shall not be awarded tenure without a reasonable expectation that he/she will later achieve promotion to Professor.

7. Promotion to Professor

Candidates who are promoted to Professor must meet their discipline's most rigorous criteria of excellence. This promotion confers tenure if it is not already held.

8. Appointment and Reappointment as Regents Professor

The procedures contained in OSU Policy Statement 2-0905 shall be followed in awarding faculty with the rank of Professor the title of Regents Professor.

9. Promotion and Reappointment within Non-tenure Track Faculty Ranks: *Please see Appendix B for additional information on the reappointment and promotion of non-tenure faculty*

The academic unit in which the non-tenure track faculty member resides must have policies and procedures in place for reappointment and promotion of non-tenure track faculty at the various ranks:

- Teaching instructor, assistant professor, associate professor, and professor
- Adjunct assistant professor, associate professor, and professor
- Clinical instructor, assistant professor, associate professor, and professor
- Instructor, assistant professor, associate professor, and professor of professional practice
- Research instructor, assistant professor, associate professor, and professor
- Assistant, associate, and senior extension specialist

Non-tenure track faculty will be evaluated for promotion based on their identified responsibilities. To be considered for promotion, the candidate must demonstrate substantial professional growth during the time in rank and must reach a level of competence appropriate to the next rank in all areas of responsibility of the non-tenure track faculty member as judged by the faculty of the unit and the discipline of the candidate.

IV. ASSESSMENT OF QUALITY OF PERFORMANCE BY CANDIDATES FOR TENURE/ PROMOTION

1. Faculty members must have confidence that their work is evaluated fairly and according to professional standards. The personnel committee and unit administrator shall each assess a tenure track faculty member's performance in the three mission areas of the University - teaching, scholarship, and extension/service/outreach. They shall base their evaluations on their unit's guidelines for reappointment, promotion and tenure. For non-tenure track faculty, the evaluation will be based on the unit's guidelines for performance appraisal of non-tenure track faculty. In the case of split, interdisciplinary or joint appointments, the unit administrator of the home department should consult with the other administrators to whom the faculty member reports.

2. The annual appraisal and development (A&D) evaluation of faculty is an interim stage in the promotion and tenure process. These evaluations are the occasion to identify both the strengths and weaknesses of the faculty. If any deficiencies are identified, faculty members have the responsibility to improve through the development process. For non-tenure track faculty, continued employment will depend on satisfactory performance of assigned responsibilities and availability of funding.

3. The performance appraisal shall be based solely on departmental standards applied in the context of the faculty member's workload assignment. This workload assignment, in turn, must be developed in advance (if at all possible) after consultation between the unit administrator, the administrators of any other units to whom the faculty member reports, and the faculty member. Within a department, there may be significant differences in the assignment of responsibilities to individual faculty members. A range in teaching, scholarship, and service responsibilities of individual faculty is allowed. For non-tenure track faculty, the department must have policies and procedures in place (prior to hiring) for performance appraisal. The policies and procedures for performance appraisal of non-tenure track faculty should be developed through appropriate faculty counsel and be approved by the Dean of the College of A&S and the Provost.

4. Review of scholarship. In addition to conducting its own independent evaluation of a candidate's scholarship, each academic unit must undertake an external peer review for tenure track faculty. (Non-tenure track faculty are not subject to an external peer review.) A minimum of three peer reviews is required. The personnel committee, the unit administrator, and the candidate should compile a list of potential reviewers; in the case of split, interdisciplinary or joint appointments, the unit administrator of the home department should consult with the other administrators to whom the faculty member reports. The unit administrator or the chair of the personnel committee shall contact peer reviewers only from this list and forward to the reviewers the materials needed to assess the candidate's scholarship.

5. Review of teaching. The College expects that every candidate (both tenure track and those non-tenure track faculty with assigned teaching responsibilities) for tenure and/or promotion be an effective teacher. Each academic unit shall establish criteria and methods by which to evaluate teaching effectiveness. (Such methods might include a review of course syllabi and exams, examples of student exams or papers, student evaluations or class visitations by members of the personnel committee, etc.) Each unit administrator shall prepare annually an assessment of the quality of teaching by tenure and non-tenure track faculty; in the case of split, interdisciplinary or joint appointments, the unit administrator of the home department should consult with the other administrators to whom the faculty member reports. This assessment shall be incorporated into the annual appraisal and development statement by the unit administrator.

6. Review of extension/service/outreach. Every candidate (both tenure and non-tenure track) should demonstrate some measure of service activity. Service is broadly defined to include committee, administrative or advising service within one's own academic unit, service to secondary units (in the case of interdisciplinary or joint appointments), service on College or University committees, service to professional organizations, and outreach and extension activities. Unit administrators should identify and evaluate specific service assignments in their annual appraisal and development statements for both tenure and relevant non-tenure track faculty; in the case of split, interdisciplinary or joint appointments, the unit administrator

of the home department should consult with the other administrators to whom the faculty member reports.

7. Unsolicited material. Candidates may place in their files unsolicited materials provided they are unedited and clearly marked as “unsolicited.”

8. Professionalism. Some departments include professionalism in their departmental standards. For those departments that have professionalism as a separate standard, they should describe their expectations for this standard in their P&P document. Care must be taken in the application of this criterion as it could be used to impose on faculty some normative personality profile as evidence of excellence. As for personal misconduct, it can be the basis for disciplinary action that is separate from the professional performance appraisal system (see Section 1.13 of the OSU Faculty Handbook).

9. Extramural Funding. There is a great diversity in the availability of extramural funding to support the pursuit of scholarship in the academic units of the College of Arts and Sciences. The provision of “start-up” funding recognizes the needs that incoming faculty have for facilities to pursue scholarship. (Start-up does not refer to facilities renovation costs.) In academic units where large “start-up” funds are provided, faculty being considered for tenure are expected to obtain extramural funding, particularly in areas where opportunities for funding exist. For departments where external funding is a primary criterion for tenure and promotion, the academic unit must have a statement in their RPT document to this effect and the offer letter sent to prospective faculty (both tenure and non-tenure track faculty) in these departments should provide notice about this requirement for tenure and/or promotion.

10. For those departments involved in community engagement, faculty are allowed to integrate community engagement into their research, teaching or service. Community engagement is understood to involve faculty collaborations with outside communities (local, regional/state, national, international) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity. (Adapted from the Carnegie definition of Community Engagement.) “This scholarship which is in the areas of teaching, research, and/or service will intentionally engage faculty in academically relevant work that simultaneously meets OSU’s mission and goals and community needs. This scholarly agenda contributes to the public good.” (Adapted from the definition used by the National Review Board for the Scholarship of Engagement) Both tenure and non-tenure track faculty involved or planning to be involved in community engagement are encouraged to speak with the Assistant Dean for Community Engagement in the A&S College Office.

11. For faculty with interdisciplinary or joint faculty appointments, the department in which faculty status and tenure reside will be the individual’s home department. The home department will carry full budgetary responsibility for the salary and benefits of the appointment and be responsible for administering A&D evaluations and reappointment, promotion and tenure recommendations, though input will be solicited from the administrator of the secondary unit or interdisciplinary program. The offer letter issued for the position should delineate both the duties and responsibilities of the faculty member inside and outside of the home department with particular attention to teaching assignments, direction of research and administrative responsibilities outside of the normal duties expected of a faculty member in the home department. Modifications or special considerations of the home department’s promotion and tenure criteria should be clearly indicated in the offer letter as should the responsibilities, rights and privileges accorded to the individual by the secondary

department. Steps should also be taken by the home department to ensure proper evaluation of work performed outside of the home department including, but not limited to, the solicitation of written input from the administrator of the secondary unit or interdisciplinary program during the annual appraisal and development process. When evaluating the performance of faculty with interdisciplinary or joint appointments, the RPT Committee of the home department should include at least one voting representative from the secondary department or interdisciplinary program. The representative from the secondary department or interdisciplinary program must meet the criteria for voting in reappointment, promotion and tenure processes for ranked faculty set forth in the university RPT document (2-0902 Academic Affairs, April 2014).

V. TIME IN RANK AND PRIOR SERVICE

1. Minimum Time in Rank

Promotion to associate professor or reappointment as an assistant professor after seven years of probationary service as an assistant professor shall confer tenure (see the Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University, contained in the University Faculty Handbook, Section 1.4.4). In general, a faculty member is promoted when the member's qualifications and scholarly record match the published criteria for the next rank, with time in rank a minor consideration.

2. Prior Service

Ideally, new members should be hired at a level commensurate with their professional stature. However, certain new faculty members will have approached but not achieved the qualifications of a particular rank. Typically, at least two years in residence at OSU are required, in addition to prior service as a tenure track faculty member in a similar university setting elsewhere. Such candidates then may be evaluated for reappointment, promotion and/or tenure based on their cumulative record of achievement. Credit for prior service must be agreed upon in writing (i.e., the offer letter) at the time of employment.

VI. ASSESSMENT OF ACADEMIC NEED AS CRITERIA FOR REAPPOINTMENT, PROMOTION AND TENURE

The "Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University," as adopted by the Board of Regents on March, 2008 ("the Policy Statement"), recognizes that "(s)ound, 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." The Policy Statement further states that "(w)hether an individual administrative action is reasonable is inherently a judgment based on prevailing circumstances, known facts, and rational conclusions."

Consideration of a faculty member for reappointment, promotion, or tenure will be based solely upon the faculty member's professional performance, taking into account the faculty member's job description and applicable University, college, and departmental standards, criteria, and procedures. Departmental needs are determined prior to a faculty member's initial appointment and therefore are not a primary or decisive factor in subsequent decisions.

VII. GOALS AND OBJECTIVES IN ESTABLISHING CRITERIA FOR REAPPOINTMENT, TENURE AND PROMOTION

The individual academic units shall include in the criteria that they draw up some prefatory statements about their own goals and objectives. These supporting statements shall establish a clear rationale for developing the criteria and will serve, on one hand, as an expression of self-understanding of the department or school and, on the other hand, as a communication to current and incoming faculty members of the unit.

SECTION THREE: TIMELINE AND DEADLINES FOR THE REAPPOINTMENT, PROMOTION AND TENURE PROCESS

The following will serve as guidelines that candidates, unit administrators and personnel committees should utilize to assure that all deadlines for RPT cases are met.

1. *On or about September 15.* The candidate should begin to prepare his or her documentation for the RPT file. This should be done with guidance from the unit administrator.
2. *On or about November 1.* The personnel committee or unit administrator should begin contacting the external reviewers. The reviewers should be notified that their letters must be returned to the unit by a specified date (typically December 15) in order for the personnel committee to adequately utilize the reviewers' assessments of the candidate.
3. *On or before December 15.* The candidate's documentation file should be delivered to the chair of the unit's personnel committee.
4. *On or before January 15.* The personnel committee should deliver its written recommendation to the unit administrator.
5. *On or before February 1.* The documentation file should be delivered to the dean's office.

College Level Faculty Committee Review

After receiving recommendations from departments in the College, all RPT files for tenure-track and non-tenure track faculty are viewed by the Dean's Office with the Dean seeking faculty counsel from a college personnel committee elected by the faculty. The elected College RPT Committee will consist of 10 tenured faculty members: a minimum

of 6 professors and the balance being associate professors. Each committee member is from a different department. No member of the college RPT committee may be the subject of an RPT action, and associate professors serving on the committee cannot review materials nor provide input regarding faculty members applying for promotion to the rank of (full) professor. No committee members may participate in discussions or voting of candidates from their home department or any department for which they may have served as a member of the personnel committee. The ten departments represented by faculty on the College RPT Committee will be rotated annually to ensure broad representation of the College on the College RPT Committee. Department rotation, selection of faculty to serve on the College RPT Committee, and other details about the functioning of the College RPT Committee can be found in the A&S Faculty Council bylaws.

The primary responsibility of the College RPT Committee is to review the departmental recommendations for procedural correctness. The college committee may provide their professional opinion on the candidates' qualifications for reappointment, promotion, and tenure. The professional opinion expressed by the College RPT committee will require a detailed and reasoned argument referring to the unit RPT criteria and be limited to the contents of the candidate's RPT dossier.

The College level committee shall prepare a recommendation regarding the proposed action for the faculty member. This statement is added to the candidate's RPT packet prior to review by the Dean. A copy of the college-level committee recommendation shall be given to the faculty member in a confidential manner as soon as possible, normally within three working days after the recommendation is finalized.

ATTACHMENT

Policy Statement To Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University

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. 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 Oklahoma State University, 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 University'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 Oklahoma State University, 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 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 at the beginning of the academic year 1990-91 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 Approved by the OSU Board of Regents, April 13, 1990

Modifications to Preface and Body Approved by the OSU Board of Regents, January 27, 2006

College of Arts and Sciences Personnel Procedures: Attachment B

Personnel Procedures for Non-Tenure Track Faculty

The purpose of this attachment is to provide greater clarity on non-tenure track policy and procedures.

Non-Tenure Track Faculty Personnel Procedures:

Description of Appointments:

Non-tenure track faculty appointments are renewable appointments not subject to the seven-year probationary period applicable to tenure-track faculty.

The following career-track faculty titles in the College of Arts and Sciences are covered by this policy document:

1. Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor
 - a. The primary responsibility will be to provide clinical supervision, teaching, and care.
2. Instructor of Professional Practice, Assistant Professor of Professional Practice, Associate Professor of Professional Practice, Professor of Professional Practice
 - a. The primary responsibility will be teaching, research, or outreach and service or some combination of these duties.
3. Teaching Instructor, Teaching Assistant Professor, Teaching Associate Professor, Teaching Professor
 - a. The primary responsibility will be teaching, although the assignment may include some research or outreach and service.

Term of Appointment:

Tenure cannot be awarded to individuals appointed to these positions, but appointees may apply for a tenure-track position should one become available. A renewable term of appointment for non-tenure track faculty members may range from one (1) to five (5) years and will be determined by the academic unit administrator (as outlined in the position announcement and offer letter) following appropriate faculty counsel and availability of funding. The university does not accrue any obligation to renew the appointment. During the first year of a multi-year appointment, the faculty member will be in probationary status for the first six months of the appointment. Before the completion of the first six months of appointment, (having secured written evaluations from pertinent program faculty and any other appropriate assessments) the unit administrator will conduct a preliminary Appraisal & Development evaluation of the faculty member. If performance is not satisfactory, the individual will have an opportunity to address their shortcomings over the next three months, at the end of which the unit administrator, having sought out appropriate faculty counsel, will indicate whether the candidate has satisfied expectations sufficient to continue serving the specified contractual review period outlined in the offer letter.

Participation in Service and Faculty Governance:

Privileges regarding faculty governance at the academic unit level shall be determined by the unit in which the non-tenure track faculty member resides. Individuals may be afforded the opportunity to serve on departmental, college, and university committees. Non-tenure track faculty members may serve on the unit personnel committee and/or the College RPT Committee only in cases of promotion and reappointment of non-tenure track faculty.

Participation in Annual Review and Criteria for Performance Appraisal:

Non-tenure track faculty members will participate in the annual Appraisal & Development (A&D) process using Academic Unit Standards developed by the sponsoring academic unit. The first A&D must be

completed within six months of the start of the appointment (see **Term of Appointment** above). Criteria for performance appraisal will be similar to those for tenure-track faculty except that instruction, outreach, service, clinical and/or extension activities will be the primary performance indicators. This A&D process is conducted yearly to determine whether an individual has adequately satisfied expectations to continue serving the specified contractual period outlined in their offer letter. In the event that the performance of a non-tenure track faculty member, who has already completed 12 months of employment at OSU, has been judged inadequate, the unit administrator may inform the individual that their contract will end 12 months from that date or at the end of the next academic year. If it is determined that the position is no longer needed, or that there is insufficient funding to support it, the unit administrator may inform the individual that their contract will end 12 months from that date or at the end of the next academic year.

Reappointment Review and Promotion of Non-Tenure Track Faculty

Reappointment to a new term of service is contingent upon the availability of funds and satisfactory performance as determined through performance appraisal. Non-tenure track faculty will be evaluated for reappointment and promotion based on their identified responsibilities.

In the final year of a non-tenure track faculty member's multi-year contract, they will go through a formal reappointment review, which is a more rigorous process than the annual A&D review conducted by the unit administrator. A possible outcome of this review is a new multi-year contract. Criteria for performance appraisal will be similar to those for tenure-track faculty except that instruction, outreach, service, clinical and/or extension activities will be the primary performance indicators.

Non-tenure track faculty will be eligible to seek promotion after an appropriate period in rank. To be considered for promotion, the candidate must demonstrate substantial professional growth during the time in rank and must reach a level of competence appropriate to the next rank in all areas of their responsibility, as judged by the faculty of the unit. Unit specific criteria that specify the performance expected at each rank and how the quality of service in assigned academic responsibilities is to be documented must be included in the unit's RPT document as part of their Academic Unit Standards.

Salary increases based on merit and/or promotion to a higher rank may be awarded.

Personnel Committee

In any personnel action considering reappointment of a non-tenure track faculty member to a new multi-year term and/or promotion of non-tenure track faculty member, the unit personnel committee must include at least one non-tenure track faculty member of a higher rank than the candidate. If no person holding this rank is available in the unit, then it is appropriate to invite an individual at this rank from another academic unit or college at OSU to serve in this capacity.

Notification of the Non-Tenure-Track Candidate for Reappointment and Self-identification of the Non-Tenure-Track Candidate for Promotion:

On or about September 1, the candidate shall be notified whenever they are to be considered for reappointment to a new multi-year contract, and they shall be invited to submit evidence supporting the candidacy. Candidates who seek promotion must make their intent known to the unit administrator by or before November 1. The candidate will be provided copies of all recommendation letters coming from the unit's personnel committee and administrator as they are submitted. External letters are not required for non-tenure track faculty promotion cases.

Evidence supporting reappointment to be included in the candidate's documentation file:

(The candidates' documentation file should be delivered to the chair of the unit's personnel committee by or before December 15.)

1. Vita for the individual
2. Most recent appointment letter
3. Description of workload
4. Copy of the unit's RPT document, including Academic Unit Standards for non-tenure track faculty
5. All annual appraisal and development evaluations since the candidate's initial appointment to OSU, or the last five annual appraisal and development evaluations for those at the associate or professor rank. An early A&D must be completed in the fall semester immediately preceding the reappointment and promotion decision.
6. Copy of the letter from the personnel committee to the unit administrator concerning the action. The candidate has three working days from the receipt of the letter to respond (1000 words or less) to a majority negative recommendation from the committee. This response should be submitted to the unit administrator and included in the documentation file for the candidate.
7. Letter from the unit administrator to the Dean concerning the action. The candidate has 3 working days to respond to a negative recommendation on reappointment or promotion from the unit administrator. This response may be no more than 1000 words. This response should be submitted to the Dean and included in the documentation file for the candidate.

The documentation file for candidates for reappointment is reviewed by the College RPT committee and the Dean, with each writing letters of recommendation, which become part of the documentation file. The candidate has three working days to respond in a letter of no more than 1000 words to receipt of a negative recommendation on either reappointment or promotion at all points in this process. This letter becomes part of the official dossier. The file is then submitted to the VPAA's office for review and a formal recommendation.

If a decision not to recommend reappointment of a non-tenure track faculty member is based on performance rather than lack of funding, the following schedule should be observed:

For non-tenure track faculty with less than one year of service, notice shall be given at least three months before expiration of the appointment. For non-tenure track faculty with more than one year of continuous service, notice shall be given at least twelve months before the expiration of an appointment.

Evidence supporting promotion or promotion and reappointment to be included in the candidate's documentation file:

(The candidates' documentation file should be delivered to the chair of the unit's personnel committee by or before December 15.)

1. Vita for the individual
2. Most recent appointment letter
3. Self-assessment statement (addressing the candidate's assigned areas of responsibility)
4. Copy of job description
5. Description of workload
6. Copy of the unit's RPT document, including Academic Unit Standards for non-tenure track faculty
7. Evidence of instructional excellence, as applicable to the individual's assignment. These may include student teaching evaluations; peer evaluations; teaching assessment reports from ITLE; copies of syllabi; exams and assignments; and other evidence of student success, etc.
8. Evidence of excellence in service, outreach and/or clinical activities, as applicable to the individual's assignment. Letters from individuals external to OSU who may attest to the candidate's contributions in these areas may be included, but are not required.
9. Unit input [internal letters] (not sent forward to the Dean's office); unit input shall be solicited by the chair of the personnel committee from the unit faculty at least ten days in advance of the first meeting of the committee to consider the candidate's file. Candidates may opt to waive their right to see these internal faculty comments.
10. All annual appraisal and development evaluations since the candidate's initial appointment to OSU, or the last five annual appraisal and development evaluations for those seeking promotion to full Professor. An early A&D must be completed in the fall semester immediately preceding the reappointment and promotion decision.
11. Copy of the letter from the personnel committee to the unit administrator concerning the action. The candidate has three working days from the receipt of the letter to respond (1000 words or less) to a majority negative recommendation from the committee. This response should be submitted to the unit administrator and included in the documentation file for the candidate.
12. Letter from the unit administrator to the Dean concerning the action. The candidate has 3 working days to respond to a negative recommendation on reappointment or promotion from the unit administrator. This response may be no more than 1000 words. This response should be submitted to the Dean and included in the documentation file for the candidate.

The documentation file for candidates for promotion or promotion and reappointment is reviewed by the College RPT committee and the Dean, with each writing letters of recommendation, which become part of the documentation file. The candidate has three working days to respond in a letter of no more than 1000 words to receipt of a negative recommendation on either reappointment or promotion at all points in this process. This letter becomes part of the official dossier. The file is then submitted to the VPAA's office for review and a formal recommendation. Candidates may be turned down for promotion but recommended for reappointment in the same review.

Revisions reviewed by legal counsel and approved by the VPAA (November 24, 2020)