

**GUIDELINES FOR SELECTION, REAPPOINTMENT, PROMOTION,
TENURE, AND CUMULATIVE REVIEW OF FACULTY**
Oklahoma State University, Department of Plant Biology, Ecology & Evolution
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Preface

It is to the mutual benefit of faculty and administrators to have established procedures and criteria that ensure fair evaluation of and rewards for professional duties performed within the Department of Plant Biology, Ecology & Evolution. The goal of this document is to outline job descriptions for each academic rank for use in the recruitment and selection of new faculty, and to specify departmental policies and procedures on (1) evaluation of faculty performance; (2) reappointment, promotion, and tenure (RPT) of faculty; (3) selection and retention of the Department Head; and (4) cumulative review of tenured faculty. These guidelines are meant to provide department-specific criteria complementary to existing university and college documents involving RPT for ranked faculty. Members of the department are advised to consult those documents for procedures and regulations concerning requests for reappointment and/or promotion.

DEPARTMENTAL PROCEDURES FOR REAPPOINTMENT, PROMOTION AND TENURE

Initiation of Review

Reviews for RPT can originate either from the Department Head, the personnel committee, or the candidate. A faculty member may elect to be considered for promotion and tenure at an earlier date than scheduled. If the candidate elects to initiate the review, a letter indicating this should be sent to the chair of the personnel committee and the Department Head.

Personnel Committee

The departmental personnel committee shall consist of three regular members and one alternate member. Voting members of the committee for reappointment, promotion, and tenure cases must be tenured at or above the rank being sought by the candidate. All tenured faculty within the department, except the Department Head, shall be eligible to serve on the committee. Conflict-of-interest exceptions include, but are not limited to, RPT candidates, familial relationships, employment of a family member, and financial considerations or extensive research collaboration. Vacancies shall be elected by a confidential vote of departmental faculty, typically in August of each year, with the new term beginning in September. All tenured and tenure-track faculty within the department shall be eligible to vote and will be notified of an election at least one week prior to the vote. The alternate will serve in lieu of a regular member when fewer than three regular members are able to serve. Whenever a regular or alternate position falls vacant, a substitute member may be elected through a special election to serve for only one year. Once constituted, the committee member serving the third annual term will serve as chair for the committee for that year. If that person is unable to fulfill his or her duties, the committee will select the chair. Each alternate typically serves for one year and is then promoted to full membership without requirement for a vote. Regular members serve for staggered three-year terms, beyond the one-year term of the alternate. The third-year member rotates off the committee at the end of their term, and is typically not eligible to run for membership in the next two elections, excluding a temporary (one-year)

appointment as a substitute member. A majority vote of the committee approves any personnel recommendation including, but not limited to, RPT actions. Formal actions must be signed by each committee member or participating alternate. All discussions of the personnel committee shall be strictly confidential.

The personnel committee shall make recommendations to the Department Head on the reappointment, promotion, and granting of tenure to faculty members in the department. Promotions shall be based on merit and achievement, as outlined in this document. They are not to be automatic. The candidate's performance is expected to be similar in comparison to faculty promoted to equivalent ranks at peer institutions.

The personnel committee is also charged with reviewing the criteria and procedures for selection, reappointment, and promotion of faculty outlined here in light of changing college and university policies. Any proposed modifications of this document shall be brought to the entire Plant Biology, Ecology & Evolution faculty for comments and a vote. A majority vote in favor of suggested changes is required for approval.

In evaluating the candidate's qualifications, the personnel committee shall exercise reasonable flexibility, balancing each case on the basis of heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another area. The committee must judge whether the candidate is engaging in work that is both sound and productive, and is likely to continue such work beyond the reappointment or promotion. Excellent achievement appropriate to the rank sought shall be demonstrated in the areas of scholarship and teaching. Activity appropriate for the rank sought in the area of service to the department, university, and profession is also expected.

External Review and Confidentiality

The personnel committee shall solicit and receive letters from a minimum of four external referees for promotion applications. All external referees shall be tenured at or above the rank being sought by the candidate, and typically should be from peer and aspirational universities. Solicited letters shall include at least two from the list submitted by the candidate and at least one not on the candidate's list. Typically, 4-6 letters are anticipated; all letters received must be included in the dossier. The Department Head may suggest reviewers but the personnel committee makes the final decision and solicits the reviews. The candidate's former graduate and postdoctoral mentors and students may not be used as external referees, nor can any individuals with conflicts of interest such as family members or close collaborators on major projects. Candidates have the right to inspect the contents of their departmental personnel file. *A candidate may nevertheless waive the right to access outside reviews.* Such waivers are common but shall not be assumed, implied or coerced, and must be executed in writing prior to solicitation of outside reviews, using appropriate university forms. 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. If the candidate has waived the right to access reviews, all correspondence with reviewers will be seen only by the personnel committee, the Department Head, and individuals in the administrative chain of decision.

Solicitation of Internal Departmental Faculty Input and Confidentiality

The committee chair shall make available in a secure location in the departmental office a hard copy of the candidate's dossier for examination by all tenured departmental faculty, including items sent to external reviewers. *A candidate may waive the right to access this departmental input.* Such waivers are common but shall not be assumed, implied or coerced, and must be executed in writing prior to the candidate signing off on the completion of his/her dossier, using appropriate university forms. The scope of the waiver shall be clearly indicated in writing. A copy of the executed waiver shall become a part of the documentation file. At least ten days in advance of the first committee meeting to consider the candidate's file, all tenured departmental faculty (excluding the candidate and anyone with a conflict of interest as described under "Personnel Committee") shall be invited to participate in a **confidential** faculty meeting to discuss the candidate's application for tenure and/or promotion. At the conclusion of that meeting, all faculty present (excluding personnel committee members) shall have the opportunity to submit an anonymous written ballot that indicates either "support" or "not support" the personnel action. The committee shall consider this input in their deliberations, and may summarize the discussion in their letter to the Department Head, but the numerical vote shall not be specified. This input shall not be placed in the candidate's file; *the chair of the personnel committee* shall maintain this input in confidence until the conclusion of the RPT process, at which time it will be destroyed.

Documents Provided to the Dean

The personnel committee shall submit a written recommendation on each case it reviews to the Department Head, and copied to the candidate, at least one business week prior to the College deadline for the Head's recommendation. The letter must clearly indicate the procedure used to select outside peer reviewers, the numerical vote for each ballot and detailed reasons for the majority decision as well as any minority opinion. A final recommendation will be made to either (a) enthusiastically support; (b) support; (c) support with some reservations; or (d) not support reappointment or promotion. The final letter must be signed by all committee members. A copy of the faculty member's entire dossier and letters from outside peer reviewers will be submitted to the Department Head. The Department Head will forward all materials (except for reprints, proposals and reviews, and conference presentations) to the Dean along with their own recommendation and additional documentation as required by college and university policies.

Notification of Candidates

The personnel committee's recommendation shall be copied immediately to the candidate. If the recommendation is negative, the candidate has the right to submit a written response, not to exceed 1000 words, to the Department Head within three business days of the date of the candidate's receipt of the committee recommendation. When the Department Head formulates a written recommendation and conveys both recommendation letters along with the candidate's file to the Dean, the Head shall promptly send a copy of their letter to the candidate and the chair of the personnel committee. If the recommendation is negative, the candidate has the right to submit a written response to the Dean within three business days of the date of the candidate's receipt of the Department Head's recommendation.

GENERAL CRITERIA FOR EVALUATION OF TENURE TRACK FACULTY

All tenure-track faculty members, regardless of rank, are expected to make substantial contributions to both the research and teaching activities of the department. In addition, all faculty members must provide evidence of an appropriate level of service to the university and beyond, including the broad community of scientists and the public. The Department Head shall provide each faculty member with a written annual appraisal of past effectiveness and provide guidelines for anticipated performance and improvements in the future following the OSU Appraisal and Development (A&D) policy and procedure. Especially exacting reviews shall be conducted as a part of RPT decisions. All reviews shall conform to established university and college appraisal procedures.

Scholarship / Research

Accomplishments and continued growth in research shall include (1) a record of publications in peer-reviewed scientific journals; (2) the direction of graduate student research projects and subsequent theses/dissertations; (3) the involvement of undergraduates, postdoctoral fellows, technicians, visiting scientists, and/or external collaborators in research activities; and (4) a demonstrated intent and ability to request and secure external funding needed to maintain scholarly productivity. Peer-reviewed publications and/or extramural funding related to instructional methods and products also may be considered scholarship.

Teaching

Teaching effectiveness shall be demonstrated in the faculty member's area of research and in related disciplines by (1) developing and offering courses that convey detailed, accurate, and current information to graduate and/or undergraduate students; (2) designing improved methods of presenting, illustrating, or evaluating course materials, as documented by materials provided by the faculty member; and (3) satisfactory performance in the classroom as judged by student and faculty feedback. The Head and the personnel committee may on occasion attend lectures to assess teaching skills. Other efforts demonstrating teaching ability may include education outside the classroom (e.g., mentoring of research lab personnel, directing student research projects, and serving on graduate advisory committees), and obtaining extramural funds for educational endeavors.

Service

Service to the university is expected to include effective and appropriate participation in departmental, college, and/or campus-wide committees. In selected cases, this may include contributions to specific administrative functions of the university. Professional service shall include at least some of the following (1) review of manuscripts submitted for publication in scientific journals; (2) participation in the review of grant proposals submitted to state, federal, and/or international funding agencies; (3) service on federal committees or grant review panels; (4) service on editorial boards of scientific journals; (5) leadership functions in professional societies; and (6) testimony to legislatures or the judiciary. Outreach service at the local and regional levels may include scientific lectures, workshops and field trips involving public school students and community organizations. Special note will be made of efforts to increase diversity, equity, and inclusion of under-represented groups in science.

Extramural Funding

The primary criteria for evaluation of faculty will be the quality and extent of research, teaching, and service activities. Nevertheless, sustained research achievement typically depends on financial support. Limited intramural funds are available to support long-term faculty research programs and provide stipends to graduate students. Thus, all faculty members are expected to *solicit* and *obtain* funds from outside of the university to support their ongoing research activities and laboratory personnel, including graduate students.

DOCUMENTATION REQUIRED FOR RPT DECISIONS

Candidates must provide the following documentation with the assistance of the Department Head in accordance with established deadlines, and the assembled materials will be provided to the personnel committee. The committee or Head may also in special cases request additional documentation.

- A detailed *Curriculum Vitae* that lists relevant activities of the candidate.
- Copies of original research publications for the evaluation period, including manuscripts submitted but not yet accepted; these may be submitted as pdf files.
- A “Research Publications” document that explains the relative contributions of each author to the research, writing, and editing of multi-author publications. This document should clearly explain the significance of each publication and describe its impact and relevance to the discipline through additional indicators such as article citations, ISI journal rankings and manuscript reviews. It is the responsibility of the candidate to document the importance and impact of each publication.
- In the absence of significant extramural funding, copies of representative grant proposals submitted for extramural funds to support research and education activities should be provided as pdf files, including reviewer comments, panel summaries, and/or correspondence with program officers as evidence of quality.
- A “Teaching Activities” document that lists and synthesizes courses taught, enrollment figures, undergraduate students mentored, and the summary page accompanying student evaluations for each class. Complete Student Surveys of Instructions and syllabi should also be provided in pdf form.
- A “Graduate Students and Research Personnel” document that lists all graduate students advised and briefly describes their current status. Students for whom the candidate served on the advisory committee, but did not supervise directly, should be listed separately. If there are no such persons, this should be so indicated. Names and roles of additional laboratory personnel (undergraduate research assistants, technicians, postdoctoral fellows, and visiting scientists) should also be noted.
- A Diversity, Equity, and Inclusion statement that details efforts made to increase access and success of under-represented groups in science.
- For promotion decisions: A cover letter that describes the candidate’s (1) research interests, visibility, significance, and future research objectives; (2) teaching philosophy, responsibilities, and effectiveness; and (3) service activities benefiting the university, scientific community, and general public. The candidate should also prepare a list (including current research expertise,

institutional affiliations and contact information) of at least 5 suggested external reviewers capable of evaluating the candidate's research program. In order to identify potential conflicts of interest, the candidate shall provide a list of all graduate and postdoctoral advisors, postdoctoral fellows mentored, former students, and all co-authors and external collaborators who have worked with the candidate over the past 48 months. If there are no collaborators, this should be explicitly stated.

JOB DESCRIPTIONS AND CRITERIA FOR PROMOTION OF TENURE TRACK FACULTY

Assistant Professor

Selection Criteria:

The position of Assistant Professor requires the completion of a Ph.D. from an accredited institution of higher learning, a record of original scholarly activity as evidenced by peer-reviewed publications, and the ability to teach effectively at both the graduate and undergraduate levels. It is expected that successful candidates for the position of Assistant Professor will have postdoctoral experience.

Evaluation Criteria:

An assistant professor is expected to (1) develop a visible and productive independent research program; (2) attract external funding to support extended research activities; (3) publish quality research papers in respected refereed journals; (4) participate in professional meetings and service activities; (5) teach a combination of graduate and undergraduate classes in relevant disciplines; (6) present lectures that convey detailed, accurate, and current information to a wide range of students; (7) provide evidence of feedback from students on classroom activities; (8) supervise graduate assistants, undergraduate assistants, technicians, postdoctoral fellows, and/or visiting scientists; (9) serve as needed on graduate committees for students in other laboratories and departments; and (10) engage in departmental and/or university-wide service activities. Regulations of the Graduate College establish the qualifications required for activities related to graduate instruction.

Reappointment:

The Assistant Professor is initially appointed for four years. During the third year, the candidate is evaluated for reappointment for a second three-year term. This is an internal review that involves a formal evaluation by the personnel committee but does not require outside referees. Accomplishments in research, teaching, and service will be evaluated. General expectations for reappointment at the level of Assistant Professor are detailed below.

A recommendation for reappointment is made with the assumption that the candidate is making reasonable progress and is expected to meet the criteria for tenure at the end of the second contract period.

Associate Professor

Selection Criteria:

Candidates hired at the level of Associate Professor, with or without tenure, are expected to have an established record of research, teaching, and professional service in a relevant discipline and should meet the general expectations for faculty members at this rank as outlined below. In addition, such candidates are expected to play an appropriate leadership and mentoring role within the department.

Evaluation Criteria:

Responsibilities of the Associate Professor are similar to those outlined above for Assistant Professors. However, Associate Professors are expected to have a more established and visible research program, a broader range of teaching experiences, and a more extensive record of service activities than faculty at the rank of Assistant Professor. Associate Professors are also expected to play a greater leadership and mentoring role within the department.

Promotion to Associate Professor with Tenure:

Normally, consideration for promotion to Associate Professor accompanies consideration for tenure and is carried out during the sixth year in rank as an Assistant Professor. In order to be eligible for promotion and/or tenure, a faculty member must demonstrate in a concrete way their contributions to the research, teaching, and service missions of the department. Candidates should offer as many items of documentation as possible. A detailed list of required supporting materials is provided elsewhere in this document. General expectations for promotion to Associate Professor with tenure are detailed below. Promotion from Assistant to Associate Professor confers tenure as well as a change in title.

Professor

Selection criteria:

Candidates hired at the level of Professor must have an established and highly meritorious record of research, teaching, and professional service in a relevant discipline. Such candidates are expected to surpass the general expectations for faculty members at this rank as outlined below and must be willing to serve a leadership and mentoring role within the department. Individuals hired at this rank will be granted tenure at the time of appointment.

Evaluation criteria:

Responsibilities of the Professor are similar to those outlined above for Assistant and Associate Professors. However, the Professor is expected to have an extended, highly meritorious record of research, teaching, and professional service. Professors are also expected to play a greater leadership and mentoring role within the university and to be respected and active members of the international scientific community.

Promotion to Professor:

In order to be considered for promotion to Professor, candidates must serve with distinction for an appropriate period of time at the rank of Associate Professor. Promotion to Professor shall not be considered automatic regardless of time spent in rank. General expectations for promotion to Professor are detailed below.

GENERAL EXPECTATIONS FOR TENURE TRACK FACULTY

Preface

RPT decisions are ultimately subjective but shall be based on rigorous evaluation of materials provided by the candidate, a documented record of past accomplishments, and evidence of future sustained effectiveness and research productivity. It is the responsibility of candidates to document their success in meeting the requirements noted here and to explain any deficiencies. Although failure to meet one or more of these requirements does not automatically disqualify the candidate, the strongest case for RPT will be made for those candidates with the most impressive credentials as measured by these benchmarks. While evidence of past accomplishments is a critical part of evaluation, an important

consideration of the personnel committee and Department Head is the candidate's potential for future scientific productivity and development as a scholar.

Scholarly Publications:

- A. Reappointment: At least one peer-reviewed publication written and accepted while at OSU; additional evidence of substantial progress towards publication of independent work conducted at OSU.
- B. Tenure: At least three significant, peer-reviewed publications resulting either from independent work conducted at OSU or from collaborative work in which the candidate played a leading role and/or was first author; collective publications recognized as a valuable contribution to the discipline.
- C. Professor: At least four additional high-quality peer-reviewed publications and a combined publication record that documents a high level of research scholarship recognized by colleagues in the discipline.

Publications in leading journals with high impact for the discipline will be given most weight. Alternate types of publications (books, databases, invited reviews) may be counted if they are broadly distributed to the scientific community and meet international standards. The total number of publications should in most cases exceed the minimal expectations noted above. Individuals with a track record of extensive independent research prior to employment at OSU are expected to have additional publications at OSU.

Extramural Funding:

- A. Reappointment: Submission of two applications (proposals) for extramural funding with some positive feedback from reviewers; or receipt of one successful extramural award (grant).
- B. Tenure: Receipt of extramural funding sufficient to support the candidate's research program, including laboratory equipment, supplies, and/or salary for research personnel.
- C. Professor: Receipt or renewal of additional extramural funding sufficient to support the candidate's ongoing research program, including laboratory equipment, supplies, and/or research personnel.

The relative contributions of each Co-PI on multi-investigator projects should be explained. Emphasis will be placed on awards in which the candidate is a major contributor. Competitive, peer-reviewed awards from agencies that provide indirect costs to the university will be given most weight. Detailed plans for seeking and obtaining continued extramural support of research activities shall be outlined.

Research Visibility:

- A. Reappointment: Presentation of research results at a national and/or international meeting appropriate for the discipline.
- B. Tenure: Presentation of research results at three national and/or international meetings appropriate for the discipline; evidence of positive reviews on manuscripts and grant proposals.
- C. Professor: Established record of research presentations at high profile scientific meetings and academic/government/private institutions; invited presentations given most weight; documented evidence of a variety of recognized and respected contributions to science.

Teaching Responsibilities:

- A. Reappointment: Evidence of teaching effectiveness and rigor at both the graduate and undergraduate levels for all assigned courses; evidence of a commitment to recruit undergraduates to participate in research activities.
- B. Tenure: Evidence of teaching effectiveness and rigor at both the graduate and undergraduate levels for all assigned courses; participation of undergraduates in research activities.
- C. Professor: Evidence of teaching effectiveness and rigor at both the graduate and undergraduate levels for all assigned courses; participation of undergraduates in research activities.

Graduate Students:

- A. Reappointment: Effective recruitment and supervision of one graduate student; or evidence of sustained effort to recruit graduate students.
- B. Tenure: Effective recruitment and supervision of two graduate students; or successful completion of one graduate student.
- C. Professor: Successful completion of two graduate students, including one while employed as an Associate Professor.

Service:

- A. Reappointment: Evidence of contributions to the department, university, scientific organizations, and/or the public; participation in the review process for grants and journal publications, evidence of supporting diversity, equity and inclusion efforts in the department and in other professional spheres of engagement.
- B. Tenure: Evidence of contributions to the department, university, scientific organizations, and/or the public; participation in the review process for grants and/or journal publications, evidence of supporting diversity, equity and inclusion efforts in the department and in other professional spheres of engagement.
- C. Professor: An established record of professional service that includes significant contributions to the department, university, relevant scientific organizations, editorial boards, granting agencies, and/or the public, evidence of supporting diversity, equity and inclusion efforts in the department and in other professional spheres of engagement.

Timeline

The following suggested timeline is subject to change, depending on university and college requirements.

May 1: Candidate sends letter of intent to incoming chair of personnel committee and Department Head to inform them of intent to apply for promotion. Chair shall contact candidates scheduled for tenure review. Faculty member provides a current CV and submits names of potential external reviewers at peer or aspirational institutions to incoming personnel committee, and signs forms to waive or not waive access to external reviews and/or internal comments. Faculty member's reviewer list should consist of 5 or more names of suggested reviewers appropriate for evaluating his or her research program and should include a description of each reviewer's research expertise, institutional affiliation, and contact information. Faculty member must avoid suggesting anyone with a potential conflict of interest. Ideally within two weeks, Personnel Committee selects and contacts external reviewers to determine their willingness to provide a review letter in the fall (materials to be sent later)

September 1: Department Head contacts faculty member, provides information (most recent guidelines), and discusses procedures for submitting a dossier. Faculty member may also contact the Department Head.

September 15: Faculty member provides materials to be sent to external reviewers (note that these can still be modified prior to review by the personnel committee, although external reviewers will not be aware of these modifications). Personnel committee sends materials to external reviewers, requesting evaluations by November 1.

December 1: Department Head conducts early appraisal and development (A&D) with the candidate and adds it to the application file. Faculty member finalizes all materials to be reviewed by the personnel committee and signs the form certifying that the file is complete. (Note that materials can still be added after this point up until the time that the personnel committee has met to make its decision.) Tenured departmental faculty meet to discuss candidate's dossier. Personnel Committee drafts their letter to the Department Head, ideally before the end of the semester.

Materials to be sent to External Reviewers

1. Cover letter with information requested in PBEE RPT guidelines
2. *Curriculum vitae* (CV)
3. Research Publications document as described in PBEE RPT guidelines
4. Graduate Students and Research Personnel document as described in PBEE RPT guidelines
5. PDFs of relevant publications (target number to be suggested by personnel committee)
6. Research self-assessment statement (required for tenure only)
7. Teaching self-assessment statement (required for tenure only)
8. Service self-assessment statement (required for tenure only)

SAMPLE TEMPLATE FOR LETTERS TO EXTERNAL REVIEWERS

[date]

Dr. _____
[Address]

Dear Dr. _____:

Thank you for agreeing to serve as an external reviewer for Dr. ___ in their request for promotion to ___ in the Department of Plant Biology, Ecology and Evolution (PBEE) at Oklahoma State University. Your primary charge is to provide a detailed evaluation of the quality, quantity and impact of Dr. ___'s research activities in relation to national standards of the discipline. ***Please refer to specific criteria outlined in our Departmental Guidelines*** provided with this letter. You are welcome to comment on other aspects of their dossier if you wish, but that is not required. Teaching and service statements are included in the attached materials to provide a broader context for Dr. ___'s professional duties and accomplishments. Please note that Dr. ___ [has or has not] signed a waiver of access to external review letters. Thus, only the PBEE personnel committee, department head, and higher administrators and their advisory committees will see your letter.

Oklahoma State University is a comprehensive research university offering BA/BS, MA/MS and PhD degrees in numerous disciplines. The Department of PBEE is in the College of Arts & Sciences and offers BS, MS and PhD degrees. Research active faculty members typically have a teaching load of one course per semester (occasionally two). Teaching assignments may include undergraduate classes with 20 to 100+ students, often with one or more lab sections with teaching assistants, and graduate courses with fewer students.

In order to meet internal deadlines, I need to receive your review by [date].

An emailed message with attached letter (Word or pdf document) will suffice by that deadline, but an original signed hard copy on your institutional letterhead will be required shortly thereafter. I will send a reminder a week or so before that if we have not received your response. *Please include a brief statement of your academic/research background with your letter to facilitate the administrative review process.*

Thank you so much for your willingness to provide this important professional service.

Sincerely,

[name, title]
Chair, PBEE Personnel Committee

Attached pdf files:

1. PBEE Departmental Reappointment, Promotion, and Tenure (RPT) Guidelines
2. Signed confidentiality document
3. Dr. ___'s promotion materials (Cover letter; CV; Graduate Students and Research Personnel; Research Publications document describing the significance and author contributions for recent publications; selected relevant publications)

JOB DESCRIPTIONS AND CRITERIA FOR NON-TENURE TRACK FACULTY, ELIGIBLE FOR PROMOTION

Non-tenure track faculty with renewable term appointments are not subject to the 7-year probationary period applicable to tenure-track faculty. Relevant titles include Teaching, Clinical, and Adjunct faculty at all ranks (OSU Policy Statement 2-0903). Research faculty and temporary faculty are covered elsewhere (OSU Policy Statement 2-0904, OSU Faculty Handbook). Non-tenure track faculty eligible for promotion have a 6-month probationary period after which they shall have a partial year appraisal, and thereafter will participate in the annual university A&D process. They must make satisfactory progress for renewal of appointment. Non-tenure track faculty members in the Department do not have voting rights on hiring of tenure-track faculty or RPT decisions, but can vote for department head and may be awarded other professional rights and privileges afforded the tenure-track faculty including the opportunity to provide input on hiring decisions.

Teaching Faculty

All Teaching Faculty, of any rank (Assistant, Associate, or Professor), may voluntarily elect to be evaluated for other forms of effort in addition to teaching such as administrative work, university service, research/creative activity, and/or other professional activities. Teaching Faculty electing such changes to their annual distribution of effort on which they will be evaluated must first seek approval from the Department Head and an immediate supervisor (if any). Such elections may be established for one or more evaluation periods, or for the entirety of the employment contract.

Teaching Assistant Professor

Selection Criteria:

The position of Teaching Assistant Professor requires the completion of a Ph.D. from an accredited institution of higher learning, the ability to teach effectively at the undergraduate level, and a record of original scholarly activity. It is expected that successful candidates for the position of Teaching Assistant Professor will have experience in college teaching.

Evaluation Criteria:

A Teaching Assistant Professor is expected to (1) primarily teach undergraduate classes; (2) convey detailed, accurate, and current information in all courses taught; (3) and provide evidence of high-quality teaching. Activities may also include supervision of undergraduate research and/or independent study projects in his/her area of expertise and engagement in departmental and/or university-wide service activities.

Appointment Renewal:

Satisfactory performance in teaching effectiveness shall be demonstrated by (1) teaching and/or developing courses that convey detailed, accurate, and current information; (2) designing improved methods of presenting, illustrating, or evaluating course materials; and (3) satisfactory evaluations of teaching as assessed by students and faculty; as documented by materials provided by the faculty member. The Department Head and other faculty may on occasion attend lectures to assess teaching skills. Other efforts demonstrating teaching ability may include educational activities outside the classroom (e.g.,

directing student research projects, leading educational outreach activities), and shall be documented by the faculty member. The Department Head shall seek input from the personnel committee and the departmental faculty in making decisions on renewal, following the process and timeline for tenure track faculty.

Teaching Associate Professor

Promotion Criteria:

The typical time in rank for promotion to Teaching Associate Professor is 6 years, although the faculty member may seek promotion at any time. Satisfactory performance in teaching effectiveness shall be demonstrated by (1) teaching and/or developing courses that convey detailed, accurate, and current information; (2) designing improved methods of presenting, illustrating, or evaluating course materials; and (3) satisfactory evaluations of teaching as assessed by students and faculty; as documented by materials provided by the faculty member. The Department Head and other faculty may on occasion attend lectures to assess teaching skills. Other accomplishments and activities may include the successful development and utilization of innovative and creative teaching methods, involvement in pedagogical and science education activities at OSU and/or with professional organizations or national initiatives, and/or other professional activities as appropriate and developed in consultation with the Department Head and an immediate supervisor (if any). The Department Head shall seek input from the personnel committee and the departmental faculty for promotion decisions, following the process and timeline for tenure track faculty.

Teaching Professor

Promotion Criteria:

The typical time in rank for promotion to Teaching Professor is 6 years, although the faculty member may seek promotion at any time. Satisfactory performance in teaching effectiveness shall be demonstrated by (1) teaching and/or developing courses that convey detailed, accurate, and current information; (2) designing improved methods of presenting, illustrating, or evaluating course materials; and (3) satisfactory evaluations of teaching as assessed by students and faculty; as documented by materials provided by the faculty member. The Department Head and other faculty may on occasion attend lectures to assess teaching skills. Other accomplishments and activities may include leadership roles at the state and/or national level in STEM pedagogy or science education, peer-reviewed publications and grants, including but not limited to, the area of pedagogy or science education, and/or other professional activities as appropriate and as developed in consultation with the Department Head and any other immediate supervisor (if any). The Department Head shall seek input from the personnel committee and the departmental faculty for promotion decisions, following the process and timeline for tenure track faculty.

Adjunct Faculty

Adjunct faculty is a courtesy appointment, and the department, college and university have no obligation of financial (salary and fringe benefits) or other support (e.g. laboratory facilities) to such faculty. An adjunct faculty member may be reappointed at the same or a higher rank on a renewable three-year term. Adjunct appointments require approval of the Department Head in consultation with the personnel committee. The Department Head also negotiates facilities arrangements, if any. The criteria for selection, reappointment, and promotion of tenured and non-tenured faculty generally apply to adjunct faculty. Given the diverse and flexible activities of adjunct faculty, the various criteria should be weighted accordingly.

SELECTION AND RETENTION OF THE DEPARTMENT HEAD

The Department Head is expected to promote the department to the university and to be an effective representative of the department to the broader scientific community. The Head shall exercise sound judgment and effectively administer the business of the department. The Head is expected to remain active in teaching and research, obtain extramural funds, and present material at national meetings. However, it is understood that the quantity of such activities may be reduced by administrative duties. An important duty of the Head is to conduct a substantive annual appraisal and development (A&D) review for each faculty member.

University policies and procedures govern the granting of permission to staff a position, the recruiting for the position from an appropriate candidate pool, and the hiring of an individual to fill the position. The selection of the Department Head is a joint endeavor between the tenure-track and non-tenure-track faculty and the Dean. Detailed procedures are presented the College of Arts & Sciences document "*Selection and Reappointment of Unit Administrators*" dated September 2015 or equivalent superseding document. The Head shall be appointed for a term of four years and may be reappointed for subsequent terms.

CUMULATIVE REVIEW OF TENURED FACULTY

PREFACE

The goal of this section is to outline department-specific criteria for cumulative review of tenured faculty. These criteria are intended to be complementary to (1) departmental guidelines for selection, reappointment, and promotion of faculty; and (2) existing university documents that deal with cumulative review. Tenured faculty members who are preparing for their 5-year cumulative review are advised to consult those documents for additional details.

GENERAL CRITERIA FOR EVALUATION

All tenured faculty members are expected to make substantial contributions to both the research and teaching activities of the department. In addition, all faculty members must provide evidence of an appropriate level of service to the university and beyond, including the broad community of scientists and the general public.

Scholarship / Research

Accomplishments and continued growth in research shall include: (1) a record of publications in peer-reviewed scientific journals; (2) the direction of graduate student research projects and subsequent theses/dissertations; (3) the involvement of undergraduates, postdoctoral fellows, technicians, visiting scientists, and/or external collaborators in research activities at a level appropriate for the discipline; and (4) a demonstrated intent and ability to request and secure external funding needed to maintain scholarly productivity. Peer-reviewed publications and/or extramural funding related to instructional methods and products also may be considered scholarship.

Teaching

Teaching effectiveness shall be demonstrated in the faculty member's area of research and in related

disciplines by: (1) developing and offering courses that convey detailed, accurate, and current information to graduate and/or undergraduate students; (2) designing improved methods of presenting, illustrating, or evaluating course materials as documented by information provided by the faculty member; and (3) satisfactory performance in the classroom as judged by student and faculty feedback. Other efforts demonstrating teaching ability may include education outside the classroom (e.g. mentoring of research lab personnel, directing student research projects, and serving on graduate advisory committees), and obtaining extramural funds for educational endeavors.

Service

Service to the university is expected to include effective and appropriate participation in departmental, college, and/or campus-wide committees. In select cases, this may include contributions to specific administrative functions of the university. Professional service will depend in part on the research interests and expertise of the individual but shall include at least some of the following: (1) review of manuscripts submitted for publication in scientific journals; (2) participation in the review of grant proposals submitted to state, federal, and/or international funding agencies; (3) service on federal committees or grant review panels; (4) service on editorial boards of scientific journals; (5) leadership functions in professional societies; (6) contributions to scientific databases, stock centers, and software development; and (7) testimony to legislatures or the judiciary. Outreach service at the local and regional levels may include scientific lectures, workshops, and field trips involving public school students and community organizations. Special note will be made of efforts to increase diversity, equity and inclusion of under-represented groups in science.

Extramural Funding

The primary criteria for evaluation of tenured faculty will be the quality and extent of research, teaching, and service activities. Nevertheless, sustained research achievement typically depends on financial support. Limited intramural funds are available to support long-term faculty research programs and provide stipends to graduate students. Thus, all faculty members are expected to solicit and obtain funds from outside of the university to support their ongoing research activities and laboratory personnel, including graduate students. Substantial federal funding is expected, although the level of such funding may depend somewhat on the research discipline.

SCHEDULE FOR CUMULATIVE REVIEWS

OSU guidelines approved in December 2007 call for all tenured faculty members to undergo a cumulative review once every five years. Reviews take place five years after the last promotion or review.

RESPONSIBILITIES OF THE CUMULATIVE REVIEW COMMITTEE

Except for conflicts of interest, the personnel committee shall serve as the cumulative review committee. For each faculty member being reviewed, the committee shall prepare a written report that assesses the individual's overall performance during the review period based on the evaluation criteria outlined above. The committee shall submit its report to the faculty member under review and the unit administrator; the faculty member shall be given ten working days to respond to the report in writing. The committee may then revise its report based on responses received from the faculty member and unit administrator. For faculty members whose overall performance reflects substantial deficiencies, the committee in cooperation with the unit administrator and the faculty member shall develop a corrective plan to improve performance and address deficiencies. The plan should establish clear performance goals, specify steps designed to achieve those goals, define indicators of goal attainment, establish a clear and reasonable time frame for

the completion of goals, identify resources available for implementation of the plan, and state the consequences of failure to attain the goals.

DOCUMENTATION REQUIRED FOR CUMULATIVE REVIEW

Candidates must provide the following documentation to the committee in accordance with evaluation schedules set by the committee (typically in March). The committee may also in special cases request additional documentation if potential deficiencies are identified.

- A detailed cover letter that documents for the past 5 years (1) research visibility and significance; (2) impact and relevance of each scholarly publication; (3) teaching activities and effectiveness; (4) service activities benefiting the university, scientific community, and general public; (5) the support of efforts to increase diversity, equity and inclusion of under-represented groups in science.
- A detailed (complete) *Curriculum Vitae* that lists relevant activities of the faculty member.
- Annual appraisal and development (A&D) documents for the period under review.
- The last cumulative review report or promotion recommendation.
- A Development Plan stating professional goals and objectives for the next review period.
- Copies of publications for the past 5 years, including manuscripts submitted.
- Copies of representative grant proposals submitted over the past 5 years for extramural funds to support research and education activities. Reviewer comments, panel summaries, and correspondence with program officers should be included when available.
- The summary page accompanying student evaluations and the course syllabus for each class taught during the review period.
- A list of all graduate students advised during the review period and their current status. Names and roles of additional laboratory personnel (undergraduate research assistants, technicians, postdoctoral fellows, and visiting scientists) should also be noted.