

## **I. POLICIES AND PROCEDURES FOR PROMOTION/TENURE OF FACULTY**

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

### **A. INTRODUCTION**

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

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

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

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

*(For Guidelines for Preparing Promotion/Tenure Review Documents, see pages 112-113.)*

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

### **B. CRITERIA FOR EVALUATION FOR PROMOTION/TENURE**

#### **1. Teaching and Related Duties**

The primary mission of SWOSU is fulfilled when faculty teach students subject matter, help students improve communications and reasoning skills, hold students accountable for learning, advise students while encouraging them to excel academically, and help students enter graduate and professional schools or obtain employment by supplying recommendation letters and other support information. Involvement and performance in such endeavors will receive the greatest emphasis in evaluations.

All faculty are encouraged to participate in self-assessment for the purpose of development. Documentation will be the basis of a standardized university-wide evaluation from the departmental through the presidential level. Documentation will be accomplished using the applicable instruments as adopted by SWOSU. The general items used for evaluation are: *(The*

*order of items is alphabetical and not meant to suggest priority of importance. The items are listed as examples only, and are not intended to be an exhaustive listing, candidates should document all activities they deem relevant).*

- a. Administrative evaluations\* (chair and/or dean)
- b. Contributions to course and/or curricula development
- c. Courses taught (*e.g., including comments on size, level, degree of difficulty*)
- d. Courses that include responsibilities for course administration or coordination (*e.g., team-taught courses, laboratory courses*)
- e. Development of new teaching techniques and/or methods
- f. Peer evaluations\*\* (*Faculty Peer Observation Form*)
- g. Preparation of instructional materials
- h. Professional Development (*Include any activities that directly affect faculty's classroom performance e.g., workshops, short courses, seminars, post-graduate study*)
- i. Development and implementation of service-learning projects
- j. Student evaluations\*\*\* (*Student Course Evaluation Form*)

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

- Administrative Evaluations: A minimum of two most recent (2) evaluations shall be included. The evaluations must be since last promotion or since coming to SWOSU if the candidate has not been promoted/tenured at SWOSU.
- Peer Evaluations: Evaluations from a minimum of three different evaluators must be obtained no earlier than Fall semester of the prior year. Two of these evaluators are selected by the faculty member and one is selected by the Chair/Associate Dean, and must be so designated on the peer evaluation form. In consideration of the Chair/Associate Dean for promotion or tenure, two evaluators are selected by the Chair/Associate Dean and one is selected by a committee of full professors of the department if possible, and must be so designated on the peer evaluation form.
- Student Evaluations: Evaluations must be conducted for all sections taught within the most recent four semesters. These may include summer terms but may not include the current semester. The evaluations shall be administered in an impartial manner by a third party.

## **2. Scholarly Activities**

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

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

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

**Curriculum** development and innovation

**Editing** (including newsletters)

**Grants** Funded/Unfunded

**Performances or exhibits** involving the various Fine Arts

**Presentation of papers** before professional groups

**Professional development**, activities in professional organizations appropriate to the teaching field or a reas of r esponsibility i ncluding c ommittee a ppointments, s ession c hair, di scussant or consultant pe rformances, w orkshops, exhibits, or s eminars w hich r elate m ore t o s cholarly development than to teaching activities

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

**Reviewing** of materials submitted by others

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

**Textbooks** (authored)

**Monographs**

**Poster Presentations** before professional groups

Each department or aca demic unit c ommittee\* may de signate ot her s pecific a ctivities w hich are unique to a certain field as being appropriate within this category.

**Responsibility for establishing the importance and scholarly nature of all activities rests with the applicant.** The applicant should not assume that all members of the evaluation committees are familiar w ith comparative va lues w ithin each discipline, such as the relative pr estige of journals, whether or not j urnal a rticles a re r eferred, w hether or not t he w ork ha s be en pu blished, or t he importance of a udiences a nd l ocales f or e xhibits or pe rformances. A ll a ctivities s hould be t hose which have been presented for the judgment of the applicant's academic peers.

### 3. Service

Faculty and chairs are expected to provide certain services to SWOSU and to the public. When faculty receive released time for service they shall document these activities. Service to SWOSU and t o t he publ ic w ill be pr operly considered in a pplicants' e valuations. A l list of a ctivities considered as services is provided below. The list is intended to provide examples. There are other activities th at w ill qua lify (*order of items is alphabetical and not meant to suggest priority of importance*).

#### a. University Services

1. Advising students include number per semester
2. Assisting students in career development and employment searches
3. Assisting w ith university-sponsored e vents (*e.g., SWIM, speech tournaments, Special Olympics, summer camps*)
4. Participating i n faculty car eer de velopment (*e.g., mentor program, faculty employment searches*)

5. Presenting in-service seminars or demonstrations
6. Professional Development (*Includes activities that enhance ability to perform services, e.g., training to be an consultant-evaluator, advisor, or consultant; attending workshops, seminars, or meetings relevant to service activities*)
7. Serving as a consultant in other disciplines and/or departments
8. Serving as a chair or member of university committees (*e.g. accreditation, self-study, departmental, school, university-wide*)
9. Sponsoring student organizations
10. Assisting in student recruitment and retention (Freshman Orientation, Alternative Admissions, etc.)

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

#### **b. Community and Public Service**

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

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

### **C. PROCEDURES FOR THE GRANTING OF PROMOTION/TENURE**

#### **1. Application**

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

All applications shall consist of only one hardback, three-ringed, tabbed, no-more-than-two-inches-thick notebook (provided by the Provost's office) with the applicant's name and category placed on the spine. The first page of the application should consist of a description of all duties and responsibilities assigned to the applicant (i.e., job description) for the years included in the application e.g., teaching, administration, supervision, advising, and load reduction with justification. This description should be formulated by the department chair with assistance from the applicant. The information in the application shall be organized according to the Requirements of Promotion/Tenure Review Document outlined in a later

section. The application should minimize raw data (i.e., include detailed listings and summaries when possible) and information pertaining to previous rank or employment and focus on accomplishment during the applicant's present rank. All activities and accomplishments shall be dated. The recommendation for promotion will be based solely on activities conducted since the last promotion. In the case of tenure all professional activities and accomplishments will be considered. Activities and accomplishments before coming to SWOSU were considered in determining entry rank; therefore, activities and accomplishments before SWOSU will not be reconsidered for further promotion.

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

## **2. Review Process and Schedule for Promotion and Tenure**

When a faculty member is to be considered for tenure and/or promotion, the department chair/associate dean shall call a meeting of the tenured members of the academic unit for a discussion of the case. The academic unit's tenured members then elect their own chair and together form the Academic Unit Committee. The faculty member's contributions to the mission of SWOSU shall be reviewed and evaluated by Academic Unit Committee, and a poll by secret ballot will be taken to determine whether a recommendation for the granting of tenure will be made. This review may be conducted in a manner that allows for input from non-tenured colleagues, students, alumni and administrative information from the department head. In the event that the number of tenured faculty members in the academic unit is fewer than five (5), the actual tenured members in the academic unit, plus additional tenured faculty members appointed by the chief academic officers or the designee to form a group of at least five (5) tenured faculty members shall act as an *ad hoc* committee for tenure recommendation. For promotion purposes, the Academic Unit Committee shall consist of all tenured faculty above the rank of the candidate for promotion excluding the chair/associate dean of the academic unit and any other candidates for promotion to the same rank. In the event that a department is not able to form a committee of at least three members, additional members are selected by the following methods, in order, until a committee of at least three is obtained.

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

A simple majority rule shall prevail. With the exception of the Academic Unit Committee, the chair or individual from each level of the hierarchy shall report its decision (i.e., grant or deny)

to the applicant on the coversheet for promotion/tenure documents. The results of the balloting of the Academic Unit Committee are confidential. The applicants shall have access to the comments at every level of review. The Academic Unit Committee summary should reflect the majority opinion of the Committee; minority opinions should be so indicated. The Academic Unit Committee should carefully review its comments to ensure that the results of its balloting remain confidential.

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

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

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

The chief academic officer will report these recommendations as well as his/her recommendation to the president. A recommendation for tenure may also come directly from the chief academic officer or from the president of S WOSU without prior recommendation from the college and/or academic unit. The president will then make recommendations to the Board.

A list of the levels follows:

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

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

- Department Promotion/Tenure Review Committee
- Department Chair
- Associate Dean/Dean (joint recommendation)

Faculty University Promotion and Tenure Review Committee  
Chief Academic Officer  
President

## 1. The Academic Unit Promotion/Tenure Review Committee

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

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

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

The options for the applicant shall be (1) to hold a conference with the chair in the event that unfavorable comments were received, (2) to withdraw the application, and/or (3) to forward the application to the next level. The applicant may respond to the written summary by completing the appropriate form and adding it to the promotion/tenure documents for review by the next level.

If the applicant decides to continue, a summary report is sent to department chair/associate dean as input. The summary report will include the results of the committee votes, majority/minority opinions and statements related to the applicant's qualifications for tenure or promotion. A record regarding the vote of individual committee members and statements or opinions expressed by individual committee members will not be included in the summary report or retained in committee records.

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

## 2. The Chair/Associate Dean of the Department

If the applicant decides to move their application forward, the department chair/associate dean shall submit a separate evaluation and recommendation and report the decision (i.e., grant or deny) to the applicant on the Cover Sheet for promotion/tenure documents. If denial is recommended the Chair/Associate Dean shall provide the applicant with a written summary response explaining the reasons for denial.

Those applicants receiving unfavorable recommendation (vote to deny) may respond on the Cover

Sheet with options which accompanies each application and return the application to the chair or individual of the next level.

The options shall be (1) to hold a conference with the Chair/Associate Dean in the event of a no vote, (2) to withdraw the application, and/or (3) to forward the application to the next level.

If the applicant decides to continue, the summary report from each level, excluding rankings where indicated, shall be sent to the dean of the college. The summary will include the opinions and statements related to the applicant's qualifications for tenure or promotion. A chair/associate dean applying for promotion/tenure will forgo the procedure of evaluating himself/herself.

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

### 3. The Dean of the College

If the applicant decides to move their application forward, the dean of the college shall prepare an evaluation and recommendation and report the decision (i.e., yes or no) to the applicant on the coversheet for promotion/tenure documents. If denial is recommended the Dean shall provide the applicant with a written summary response explaining the reasons for denial.

Those applicants receiving unfavorable recommendation (vote to deny) may respond on the Cover Sheet with options which accompanies each application and return the application to the individual of the next level. The options shall be (1) to hold a conference with the Dean in the event of a no vote, (2) to withdraw the application, and/or (3) to forward the application to the next level.

If the applicant decides to continue, the summary report from each level, excluding rankings where indicated, shall be sent to the Faculty University Promotion and Tenure Review Committee (FUPTRC). The summary will include the opinions and statements related to the applicant's qualifications for tenure or promotion. A dean applying for promotion/tenure will forgo the procedure of evaluating himself/herself.

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

### 4. The Faculty University Promotion and Tenure Review Committee

The committee shall be composed of three (3) faculty members each from the College of Arts and Sciences and the College of Professional and Graduate Studies and one (1) faculty member each from the College of Pharmacy and the College of Associate & Applied Programs. The members shall be selected in the following manner:

The Senate Executive Committee (with assistance, if needed) will compile a list of faculty eligible

(by college) for SWOSU Promotion/Tenure Review Committee by the August Senate meeting. The Faculty Senators of each college will meet following the September Senate meeting and select from among the list of eligible and willing faculty who meet the minimum requirements of tenure, rank of assistant professor and seven (7) years experience at SWOSU and may not be a departmental chair during the current academic year. The Faculty Senate President (or designee) will forward the names to the Chief Academic Officer by the end of the first full week of October. The names may not include any faculty members applying for promotion and/or tenure. If these requirements prohibit a college from submitting a slate of eligible faculty, the requirements will be lowered in the following order:

1. The years of experience will be reduced first to six (6) and then to five (5).
2. Service on the committee the previous year is removed.
3. If there are fewer than three (3) candidates from the College of Arts and Sciences and the College of Professional and Graduate Studies due to an eligible candidate refusing to serve, then only the remaining eligible candidates are submitted.
4. If there are fewer than three (3) candidates and all eligible candidates have agreed to serve, then the Faculty Senators from that college shall submit a plan to the Chief Academic Officer for filling the vacancy(ies) to attain a list of three (3) candidates from the College of Arts and Sciences and the College of Professional and Graduate Studies. Once an acceptable plan is agreed upon, the slate of three (3) candidates will be submitted.

Members of the committee shall serve one year terms and shall not be able to serve consecutive terms. Department chairs, associate deans, deans and applicants shall not be eligible for committee membership.

## **Procedures for FUPTRC**

### **Confidentiality**

**All deliberations and records of the committee are confidential. All members of the committee are to maintain this confidentiality.**

### **Committee Officers**

The Faculty University Promotion and Tenure Review Committee's (FUPTRC) first action is to elect a chair from its members only. The chair of the committee does vote. The committee has the prerogative of deciding if it wishes or needs additional officers, for example a secretary or clerk, and fills such offices by election or appointment from among its members as it sees fit.

### **Documents**

The Chief Academic Officer places applicants' documents in a secure location which is accessible to committee members.

### **Review of Documentation**

The chair informs committee members of the location of documents so that committee members may begin their review of documents. The committee will decide the order in which categories will be considered.

Notes are the personal property of the individual committee member and serve to refresh one's memory during full committee discussion of a candidate. Members are also urged to make a rough, preliminary ranking of the candidates prior to the meeting at which a vote will be taken.

### Eligibility

The first evaluation action taken by the full committee will be a review of eligibility requirements of candidates. Any candidate found ineligible will not be reviewed further. Such candidates will be so notified when the committee makes its reports at the end of the process.

### Discussion of Candidates

The committee will discuss and vote on each candidate, one at a time. Decisions concerning all candidates in a category will be made before moving to a consideration of candidates in another category. The committee will decide the order in which categories will be considered. The discussion, prior to a vote, should be summarized by the chair, as aided by other committee members, for inclusion in statements to be reported to the candidate.

### Voting

Following discussion of a candidate, a vote is taken on a recommendation to 'grant' or 'deny' promotion or tenure. Each vote is by separate, standardized secret ballot; ballots are prepared in advance but not distributed until discussion on a candidate is completed. Majority rule decides the recommendation. A tie (the committee has eight members) means no majority, resulting in a recommendation to 'deny'.

### Ranking

Following voting on all candidates within a category, the chair tabulates and reports the vote for each candidate. Candidates within a category are divided into two groups, those for whom the majority position was to recommend 'grant' and those for whom the decision was to recommend 'deny.' Committee members then rank candidates within each of these groups. All candidates must be ranked.

This ranking will be done anonymously on a list, one list for each committee member. Individual committee members may not assign tie rankings to candidates -- they must distinguish rankings. If these instructions are not followed, the vote will not be included in determination of composite scores.

A composite score is calculated for each candidate at an academic rank or for tenure by summing the committee members' individual rankings of a candidate. The closer to '1' the composite score, the higher the final ranking reported to the Chief Academic Officer and President.

The highest ranked candidate in the 'deny' group will be given the next number following the ranking of the lowest ranked candidate in the 'grant' group.

It is possible and permissible for tie rankings in the composite final rankings. In such a case, the rank assigned the next candidate after the tie is adjusted accordingly; for example, if two candidates tie for first place, a 'one' is assigned to each, and the next highest candidate is assigned a 'three.'

### Draft Reports

The chair will prepare a summary list of committee recommendations and rankings, by academic rank and tenure, which is submitted to the full committee for final approval. Additionally, the chair will prepare a draft statement for each candidate with statements of strengths and/or weaknesses to support

the committee's decisions.

If the applicant decides to move their application forward, the chair shall prepare an evaluation and recommendation and report the decision (i.e., grant or deny) to the applicant on the Cover Sheet for promotion/tenure documents. If denial is recommended the chair shall provide the applicant with a written summary response explaining the reasons for denial. In the letter to the applicant, the chair shall include a request for written response from the applicant stating that the summary was received. If no response is received within a week following the mailing, the chair shall contact the applicant to confirm receipt.

Those applicants receiving unfavorable recommendation (vote to deny) may respond on the Cover Sheet with options which accompanies each application and return the form to the individual of the next level. The options shall be (1) to hold a conference with the Chair in the event of a no vote, (2) to withdraw the application, and/or (3) to forward the application to the next level.

If the applicant decides to continue, the summary report from each level shall be sent to the Provost. The summary will include the opinions and statements related to the applicant's qualifications for tenure or promotion.

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

#### Report to the Chief Academic Officer

The chair will send the committee's summary list of committee recommendations and rankings, by academic rank and tenure of those faculty who desire to continue the process, to the Chief Academic Officer. This summary list reports only the committee's majority decision and candidate rankings, not the numbers of votes to 'grant' or 'deny.'

#### Communication Between the Committee and Others

The Chief Academic Officer, President of SWOSU, and any other agency with a right to further information will direct their comments to the Chair of the FUPTRC, who shall be its only spokesperson.

#### Appeals

The Chief Academic Officer will report in writing to the Chair of the FUPTRC any appeals that are made and by whom. In the event of an appeal and should communication with the FUPTRC be necessary, the chair of this committee shall be its sole spokesperson; confidentiality of individual committee member comments shall be maintained.

#### Maintenance of Candidates' Documents

All documents of all candidates shall be maintained by the Chief Academic Officer until the entire university process, through appeals and final decision by the President following the appeals, is concluded. Candidates are advised to maintain a duplicate copy.

#### Maintenance of Committee Records

The Chair of the FUPTRC shall keep secure all committee ballots, ranking lists, comment sheets, and copies of reports until notified that the entire university process, through appeals and final decision by the President following the appeals, is concluded. Unless notified in writing to keep them, all committee records are to be destroyed following notification, in writing (non-electronic), by the Chief Academic Officer that the entire process is concluded.

#### Final Reports

The Chair of the FUPTRC, with approval of the committee, shall report in writing to the Chief Academic Officer on procedural problems encountered and/or recommendations to improve the procedure. The Chief Academic Officer shall report in writing to the chair when the entire university process, through appeals and final decision by the President following the appeals, is concluded.

Faculty member rankings from the Faculty University Promotion and Tenure Review Committee should be retained by the Chief Academic Officer.

#### 5. The President and the Chief Academic Officer

Notifications to candidates regarding the outcome of their applications will include a summary of the relevant remarks and recommendations regarding the candidate from all levels of the process. The President and the Chief Academic Officer shall determine the tenure recommendations to be submitted to the Board of Regents of the Regional University System of Oklahoma. The confidential letters of recommendation from the levels of the process will be held in accordance with Oklahoma law, and destroyed when and if appropriate.

**Forms associated with Promotion/Tenure may be found on the SWOSU website at**  
<http://www.swosu.edu/facstaff/tenure/forms.asp>

### **D. APPEALS PROCEDURE**

An applicant may appeal to SWOSU Promotion/Tenure Appeals Committee once his/her application has been forwarded to all levels of the review process (i.e., through the level of Chief Academic Officer). The basis for the appeal must be a violation of procedural due process. The applicant must state the reason(s) for the appeal in writing. The Promotion/Tenure Appeals Committee will only review the applicant's submitted documentation in forming its recommendation. The recommendations from the Committee will be forwarded to the President.

The Promotion/Tenure Appeals Committee will be composed of one faculty member from each college selected by the Faculty Senators of that college and forwarded to the Chief Academic Officer in the selection process for SWOSU Promotion/Tenure Review Committee. A fifth member of this committee will be a member of the Appellate Committee on Dismissal of Tenured Faculty Members and may not have been a candidate or on the slate of three during the current academic year. This individual will be selected by the Faculty Senate. Two (2) additional members of this committee, consisting of a departmental chair/associate dean and a dean from one of the colleges will be appointed by the Chief Academic Officer. Members of the Promotion/Tenure Appeals Committee shall not have been involved in the promotion/tenure process as candidates or as members of SWOSU Promotion/Tenure Review Committee during the academic year.

The Promotion/Tenure Appeals Committee shall elect a chair, who will be a voting member. The chair should report the committee's recommendation in writing to the appellant and SWOSU president. The President should inform the appellant, in writing, the acceptance or rejection of the Appeals Committee recommendations, prior to presenting the faculty list for promotion/tenure, to the Board of Regents for their approval. In the case of a rejection of the Appeals Committee recommendation, the president must give the appellant, in writing, the reasons for such action.

## PROMOTION/TENURE TIME SCHEDULE

Candidate:	Commits to Promotion and/or Tenure	By the end of the second full week of September
Faculty Senate:	Faculty Senators will select three (3) faculty from the College of Professional & Graduate Studies, three (3) from the College of Arts and Sciences, and one (1) from the College of Pharmacy and one (1) from College of Associate and Applied Programs from a list of eligible and willing faculty. Additionally, one (1) faculty from each college will be selected for the Appeals Committee.	September Faculty Senate meeting
Faculty Senate President (or designee):	Forward faculty names from each college to the Chief Academic Officer	By the end of the first full week of October
Candidate:	Submits documents to the Department Chair	By the first Monday after Fall Break
Chief Academic Officer:	Approves appointment of the Faculty University Promotion/Tenure Review Committee (FUPTRC).	By the first Monday after Fall Break
Chair/ Associate Dean:	Formulates Departmental Promotion/Tenure Review Committee and distributes documents to Departmental Committee	By the first Wednesday after Fall Break
Dept. Committee:	Forwards documents and recommendations to the Department Chair/Associate Dean	By the second Friday in November
Chair/ Associate Dean:	Forwards documents and recommendations to the Dean	By the first Friday in December
Dean:	Forwards documents and recommendations to the Chief Academic Officer	By the end of the second full week of January
FUPTRC Chair:	Forwards documents and recommendations to the Chief Academic Officer	By the end of the first full week of February
Chief Academic Officer:	Forwards documents and recommendations to the President	By the end of the third full week of February
President:	Notifies candidates of final recommendation for tenure and approval or denial of promotion	By the end of the first week of March
Candidate:	Final day for filing appeal	By the first Friday after Spring Break
Appeals Committee Chair:	Forwards recommendation(s) from the Appeals Committee to the President	By the end of the first full week of April
RUSO Regents:	Considers recommendations for tenure from President	Designated board meeting

## **Guidelines For Preparing Promotion/Tenure Review Document**

The candidate, in consultation with the departmental chair (Dean of the Sayre Campus), shall prepare a Promotion Review Document and/or a Tenure Review Document citing background, accomplishments, and duties using the format shown below.

### **I. General Information**

- A. Appropriate cover sheet
- B. Name and a description of the duties and responsibilities (i.e., job description) for the years included in the application
- C. Educational background
- D. Employment record ( including positions, institutions, and dates, beginning with most recent)
- \*E. Citations in biographical works (e.g., American Men & Women of Science)
- \*F. Awards and honors
- \*G. The previous letters of denial or approval from previous applications of the same rank or tenure at any level, whichever is applicable.  
\* If applicable.

### **II. Teaching**

Using the criteria cited in Section I.B.1 (Policies and Procedures for Promotion/Tenure of Faculty), the candidate shall detail teaching competence in a thorough but concise manner.

- A. Courses taught--course number, title, semester, number of students
- \*B. Team- or turn-taught courses, coordinated and/or administered ( course number, title, semester, number of students).
- \*C. Contributions to course and/or curricula development (course number, title, contribution)
- \*D. Preparation of instructional materials (course number, title, type of materials)
- \*E. Development of new teaching techniques and/or methods ( course number, title, technique or method)
- F. Peer evaluations (provide Faculty Peer Observation Forms)
- G. Administrative evaluations (provide the Chair Evaluation of Faculty Forms)
- H. Student evaluations (provide a separate summary of statistical data and written comments for each section taught for the previous four semesters, not including summer. )
- I. Professional development (official documentation)
- J. Other
- \* If applicable.

### **III. Scholarly Activities**

Using the criteria cited in Section I.B.2 (Policies and Procedures for Promotion/Tenure of Faculty), the candidate shall detail accomplishments, when applicable, in scholarly activities in a thorough but concise manner.

- A. Research (brief summary of research activities and/or interests)

- B. Textbooks (bibliographical list of textbooks and/or contributions to textbooks)
- C. Refereed journal articles (bibliographical list of articles indicating (\*) primary authorship)
- D. Scholarly papers (bibliographical list of papers indicating (\*) primary authorship)
- E. Grants and contracts (listing of grants and contracts indicating (\*) those funded)
- F. Exhibits
- G. Musical compositions (listing of musical compositions)
- H. Musical arrangements
- I. Performances
- J. Construction design
- K. Unrefereed journal articles (bibliographical listing indicating (\*) primary authorship)
- L. Curriculum development/innovations (indicate course number, title, types of development)
- M. Works of art
- N. Editing/reviewing (list journals and other publications)
- O. Professional development (documentation)
- P. Other

#### **IV. Service**

Using the criteria cited in Sections I.B.3.a. and I.B.3.b. (Policies and Procedures for Promotion/Tenure of Faculty), the candidate shall detail appropriate service activities.

## II. POLICIES AND PROCEDURES FOR EVALUATION OF FACULTY

### A. FREQUENCY OF CONTINUANCE REVIEW

1. Non-tenure track faculty members

Non-tenure track faculty members with less than five (5) years of service will be evaluated annually in the continuance procedure. Non-tenure track faculty members with five (5) or more years of service may, at the discretion of the department, be reviewed annually, but must be reviewed at least every third year.

2. Tenure-track faculty members

Tenure-track faculty members shall be evaluated annually in the continuance procedure.

3. Tenured faculty members (post-tenure review)

Pursuant to the conditions outlined below (see POST-TENURE REVIEW section), tenured faculty members may be reviewed annually and must be reviewed at least every third year.

4. All first year faculty will receive an information only (in most circumstances) evaluation from the Department Chair/Associate Dean. This evaluation will occur after the first full semester of service. A record of the meeting date will be signed by the Department Chair/Associate Dean and candidate and forwarded to the Dean. No other information from the meeting or evaluation will be recorded. Student evaluations are required for all non-tenured, permanent, full time faculty. Tenured faculty members must ensure that every course they teach is evaluated by students a minimum of one time every two years.

The Assessment Office coordinates student evaluation of faculty. See the entry on Tenure for additional information relative to evaluation.

### *Sayre Campus*

Program directors and the Dean of the Sayre Campus are responsible for evaluating instructional personnel. Evaluations are made prior to March 1 and collected by the Dean who forwards one copy to the vice president for academic affairs. This copy is placed in the faculty member's personnel file. One copy is given to the faculty member.

### B. CONTINUANCE PROCEDURES

1. Application materials

a. The **Department Chair/ Associate Dean** will supply the following for the candidate by September 15:

\* A copy of the candidate's job description for the period under review.

\* A copy of the written plan of improvement from the previous continuance cycle (if applicable).

b. The **tenure track candidate** for continuance will supply the following to the

Department Chair/Associate Dean by September 15:

- \* A current copy of their curriculum vita
- \* A yearly summary of their student evaluations (maximum 2 years). This summary is furnished upon request by the assessment office.
- \* One peer review (peer chosen by the candidate).
- \* (Optional) Other documentation (maximum of 10 pages) that the candidate would like the committee to consider.

c. The **non-tenure track candidate** for continuance will supply the following to the Department Chair/Associate Dean by September 15:

- \* A current copy of their curriculum vita
- \* A yearly summary of their student evaluations (maximum 2 years). This summary is furnished upon request by the assessment office.

A non-tenure track candidate for multi-year continuance may also supply the following:

- \* (Optional) One peer review (peer chosen by the candidate).
- \* (Optional) Other documentation (maximum of 10 pages) that the candidate would like the committee to consider.

Upon receiving the above items, the Department Chair/Associate Dean schedules a Departmental Continuance Committee meeting.

2. Departmental Continuance Committee Composition:

***Weatherford Campus***

- a. The total full-time department faculty, except first year faculty members, will vote annually by September 1 on the format of the Departmental Continuance Committee.
- b. All continuance committees must have a minimum of four voting members.
- c. The committee may consist of either all departmental tenured faculty, **or** all full-time members of the departmental faculty, except the individual under consideration, first year faculty members, and the Department Chair/Associate Dean.
- d. If a department cannot meet the minimum number of voting members with tenured faculty then the committee must consist of all eligible faculty members.

- e. If a department cannot meet the minimum number of voting members with all eligible faculty members, one or more faculty members from outside the department must be chosen and approved by a majority vote of all full time department faculty.
- f. The candidate for continuance has the option of selecting a committee member from outside the department whether or not the department itself can produce a full committee of qualified faculty members. The selected committee member from outside of the department will be a voting member and must be approved by a majority vote of all full time department faculty. The selected member does not count towards the minimum of four (4) voting members.
- g. If a department becomes deadlocked over the composition of the committee, the Associate Dean or Dean of the college will break the tie.
- h. Any dispute regarding the functioning of the committee or procedural matters will be decided by a majority vote of the committee.

### ***Sayre Campus***

On the Sayre campus, the committee will consist of all tenured faculty. The Dean conducts the meeting and is a non-recommending member.

3. The Departmental Continuance Committee will meet and consider the strengths and weaknesses of the faculty candidate for continuance.
  - a. The Committee will select one of its members to act as Committee Chair for the candidate. The member from outside of the department, as selected by the candidate, will not serve as Committee Chair.
  - b. The Committee Chair will conduct the meeting and is a recommending member.
  - c. If there are multiple candidates for continuance, separate chairs may be elected.
  - d. The committee meeting will consist of an open discussion in the presence of all committee members except the candidate for continuance.
  - e. The Committee Chair will collect a Faculty Recommendation Form for Continuance from each member of the committee by October 15.
  - f. The Committee Chair will prepare a summary report. This report must be reviewed and signed by the members of the departmental committee.
  - g. The signed report and individual Faculty Recommendation forms will be forwarded to the Department Chair/Associate Dean.
4. a. The Department Chair/Associate Dean has the responsibility to meet with the faculty member to share the results of the Department Committee and Department Chair/Associate Dean recommendations and discuss the perceived strengths and weaknesses.

- b. If the candidate is continued, an interim evaluation meeting will be conducted between the faculty member and Department Chair/Associate Dean. If weaknesses are identified that must be addressed prior to the next continuance consideration, the Department Chair/Associate Dean and faculty member will develop a written plan of improvement. (As in B.1.a above) (A copy of the plan should be submitted to the Dean for informational purposes.)
5. The Department Chair/Associate Dean includes the report of the Departmental Continuance Committee when he/she forwards his/her recommendation to the Dean. The Dean should receive these recommendations no later than November 1.
  6. A meeting between the Department Chair/Associate Dean and the Dean is required when the committee, the Department Chair/Associate Dean, or both are recommending non-continuance.
  7. a. The Dean takes the recommendations of the committee and Department Chair/Associate Dean into consideration and makes a recommendation to the Chief Academic Officer.
    - b. The Dean's recommendation is submitted to the Chief Academic Officer in mid December.
    - c. If the Dean is going to make a non-continuance recommendation, the Dean will ask the Department Chair/Associate Dean to so inform the faculty member. The faculty member then has the option of submitting a letter of resignation prior to the end of the Fall semester or of allowing the process to continue.
  8. It is not required that the non-tenured faculty member be provided cause for non-continuance.

### **C. POST-TENURE REVIEW**

1. The Department Chair/Associate Dean notifies the tenured faculty candidate for post-tenure review by the end of the first full week of classes in fall semester of the review that will take place in the (fall) semester. Faculty in their first semester of tenure will not be formally evaluated. The Dean will initiate post-tenure review if the Department Chair/Associate Dean is the candidate.
2. The candidate for post-tenure review must submit a current vita to the Department Chair/Associate Dean by September 15. The Department Chair/Associate Dean will request student evaluations of all courses taught during any two semesters since the last evaluation from the Assessment Office.
3. The Academic Unit Review Committee\* (AURC) will meet and prepare a written evaluation, using the documentation submitted to the department chair/associate dean, based on the tenured faculty's performance in teaching, scholarship, and service since the previous post-tenure review (normally, three years). The emphasis on teaching, scholarship, and service will be dependent upon each faculty member's specific responsibilities. The AURC will submit its evaluation to the Department Chair/Associate Dean. The department chair/associate dean will conduct an independent written evaluation based on the same criteria. The AURC, the department chair/associate dean, and dean will use the Post-Tenure Forms.

4. The Department Chair/Associate Dean has the responsibility to share the results of the two post-tenure evaluations with the candidate. An unsatisfactory review will occur only if the Department Chair/Associate Dean and the AURC both concur on the need for significant and fundamental improvement (as identified on the Post-Tenure Review Form.) In that case, the Department Chair/Associate Dean, in consultation with the candidate, will develop a written plan of improvement, and the candidate must be reviewed again within one year.
  5. The candidate for post-tenure review may submit a written response to the evaluation and/or plan of improvement.
  6. The Department Chair/Associate Dean forwards his/her evaluation (and improvement plan, if any), the faculty vita, the AURC evaluation, and the candidate's written response (if any), to the dean. The dean should receive this evaluation no later than November 15.
  7. The Dean forwards the material submitted under number 6 along with his/her evaluation to the Chief Academic Officer. In cases of unsatisfactory reviews, the provost will forward the "needs for improvement" recommended by previous levels to the candidate. If the faculty member under review is from a unit with both a Department Chair and Associate Dean, the Chair will make a recommendation to the Dean and the Associate Dean and Dean will make a joint recommendation to the Chief Academic Officer.
  8. Candidates receiving two consecutive unsatisfactory reviews may be terminated based on incompetence or on an act or acts which demonstrate unfitness to be a member of the faculty.
- \* For post-tenure review purposes, the Academic Unit Review Committee (AURC) shall consist of all tenured faculty above the rank of the candidate excluding the department chair/associate dean. In the event that the academic unit is not able to form a committee of at least three members, additional members are selected by the following methods, in order, until a committee of at least three is obtained.
1. Tenured academic unit faculty at the rank of the candidate for review.
  2. All academic unit tenured faculty at or above the rank of the candidate for review shall submit a plan to select additional members to produce a committee of three that is acceptable to the dean of the school.
  3. The Chief Academic Officer shall appoint tenured faculty above the rank of the candidate from other academic units to produce a committee of three.
  4. No department chairs, associate deans or deans shall be eligible for committee membership.

**Forms associated with Post-Tenure Review may be found on the SWOSU website at <http://www.swosu.edu/facstaff/tenure/forms.asp>**