

GUIDELINES FOR SELECTION, REAPPOINTMENT, AND PROMOTION OF FACULTY

**Department of Microbiology & Molecular Genetics
Oklahoma State University**

NOTE: These guidelines are meant not to conflict with Oklahoma State University Policy and Procedures Document 2-0902, *Reappointment, Promotion and Tenure Process for Ranked Faculty*, dated September, 2000.

Preface:

It is to the mutual benefit of both faculty and administrators to have established procedures that ensure fair evaluation of and rewards for professional duties performed within the Department of Microbiology & Molecular Genetics.

It is the goal of this document to specify policies on (1) general criteria for evaluating faculty performance, (2) job descriptions for each academic rank, (3) criteria for promotion, and (4) procedures for reappointment, tenuring, and promotion of faculty.

GENERAL CRITERIA

Assumptions:

All persons, regardless of rank, are expected to make substantial, but not necessarily equal, contributions to the teaching and research program of the department. All faculty members must provide service to Oklahoma State University and/or the community. New faculty members' contributions to the service and teaching missions should not, however, be expected to substantively begin until their second year. Service should be primarily at the departmental level during the early years.

Research:

A record of accomplishment and continuing growth in research may include a record of published articles in technical journals, the direction of the research and of theses and dissertations of graduate students, and a consistent effort to obtain research support funds from outside the University.

Teaching:

Ability as a teacher in the classroom should be demonstrated not only in the person's area of research, but also in related areas. Ability can be demonstrated by developing courses and curricula, and by developing new and better techniques of presenting and illustrating course material, as well as by satisfactory performance in the classroom.

Extension:

Extension activities include the teaching of on and off-campus courses, the development and/or presentation of workshop materials for non-resident students, non-remunerative consultation or problem solving for groups or individuals, the publication of applied materials for general public use, and the routine testing of products or materials for companies or individuals.

Service:

Service activities include acting as an advisor to students and/or student organizations; service on departmental, college, or university committees; involvement in administration within the department, college or university; service in academic programs exterior to the university; service on state or federal committees, boards, or commissions; peer review service at various levels for editorial or funding boards; and service in professional societies and organizations.

JOB DESCRIPTIONS FOR THE VARIOUS ACADEMIC RANKS

Instructor

The position of instructor in the Department of Microbiology & Molecular Genetics requires a Master's degree or the equivalent. It requires an ability to teach with competence under professional supervision. An instructor may attain tenure, in accordance with university policy.

Assistant Professor

Selection criteria

The position of assistant professor requires the completion of Ph.D. or D.Sc. from an accredited institution of higher learning, a record of original research activity evidenced by peer-reviewed publications, and the ability to teach. Membership and participation in professional organizations is expected of members of the academic profession.

Evaluation criteria

An assistant professor is responsible for conducting university classes for undergraduate and/or graduate students and may have full responsibility for one or more courses, may supervise the efforts of undergraduate assistants and/or instructors, and may serve on graduate committees. The regulations of the Graduate College establish the qualifications required for activities related to graduate instruction. The assistant professor may also advise students on curricular and career choices, assist student organizations within the department or college, engage in extensions activities, and serve on faculty committees. The assistant professor shall continue scholarly development, as evidenced by professional achievements such as the publication of research results in refereed journals, by the development of proposals to support research or other creative activities, by the presentation of scientific papers at professional meetings, and by participation in the functioning of professional societies or institutions.

The assistant professor is appointed for four years and may be reappointed for an additional three-year term. Department administrators shall provide him/her annually with a written appraisal of past effectiveness and provide guidelines for anticipated performance. Especially exacting reviews shall be conducted as a part of decisions affecting reappointment, promotion, and/or tenure. All reviews shall conform to established university and college appraisal procedures.

Reappointment

Assumption:

During the third year, the candidate is evaluated for reappointment for his/her second (three-year) term. This is an internal review in that out-side evaluation by referees is not required. Recommendation for “reappointment” is made with the assumption that the candidate is making reasonable progress and will meet the criteria for tenure at the end of his/her second contract period. If this is not a reasonable assumption, recommendation for “non-reappointment” should be made. At this time his/her accomplishments in research, teaching and service will be evaluated. The criteria are the same in kind as those for promotion to associate professor, but it is understood that the candidate is in a process of growth and may not completely satisfy all of the criteria at the time of reappointment.

Documentation (to be presented to the departmental P&T committee and the department head for their evaluation of the candidate)

1. A publication record including work performed at Oklahoma State University. This may include collaborative projects with organizations outside the University, where appropriate.
 - a. Research articles published in refereed journals based on research performed at this Institution.
 - b. Invited scholarly articles. (If peer reviewed before publication, a clear indication should be made.)
 - c. Text materials published by a national (unsubsidized) publisher or already under contract and in production.
2. Receipt of an externally funded research grant and evidence of continuing applications.
3. Evidence of teaching effectiveness and scholarship as measured through:
 - a. Student evaluations
 - b. Peer evaluations
 - c. Syllabi for courses designed by the candidate
 - d. Successful mentoring of graduate students as evidenced by degrees conferred.
 - e. A list of undergraduate students mentored in independent research.
 - f. Evidence to demonstrate what portion of the department’s teaching load has been assumed (list of classes taught and enrollment in each)
4. Evidence of service
 - a. Assumption of a normal committee load within the department.
 - b. Some service at the college or university level.
 - c. Service to regional and national professional organizations in the candidate’s field.

5. Evidence of national recognition

- a. Invitations to present seminars (List date and venue)
- b. Service as a reviewer of manuscripts for established research journals and grant applications or as a member of editorial boards and review panels

Associate Professor

Selection Criteria

The associate professor must hold the Ph.D. or D.Sc. from an accredited institution of higher learning. The associate professor must have demonstrated skill in teaching. The associate professor must have an established record of achievement in research and scholarship and have published the results of such work in refereed professional journals or in other appropriate forms.

Evaluation Criteria

The associate professor is responsible for conducting university classes for undergraduate and/or graduate students and for assisting in course and curriculum development. Scholarly maturity should be demonstrated by conducting research of a high caliber, by publishing the results of research in peer-reviewed journals, and by actively seeking external research support. Typically, the associate professor assumes major responsibility for supervising graduate students who are completing theses or dissertations. The associate professor is expected to assume service responsibilities within the department, college and/or university. He/she may provide leadership in the development of extension programs, serve as a consultant to appropriate groups, and serve in appropriate professional organizations at the local, state, or national level.

A new faculty member hired as an associate professor is appointed for five years. Reappointment confers tenure. Tenure may also be conferred by special review after one year of service.

Promotion from assistant to associate professor confers tenure as well as a change in title. Departmental administrators shall provide an annual written appraisal of past effectiveness and provide guidelines for anticipated performance. Especially exacting review shall be conducted as part of decisions affecting reappointment, promotion, and/or tenure. All reviews shall conform to established university and college appraisal procedures.

Promotion to Associate Professor

Assumption:

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 his or her contributions to the research, teaching, and service missions of the department. This is accomplished by means of the documentation listed below. No single person is expected to have all types of documentation. There is room for flexibility and emphasis, but individual faculty members are expected to contribute at least a moderate amount in non-emphasized areas. A faculty member should strive to offer as many of the items of documentation as possible. Persons not planning to offer roughly equal efforts in the areas of teaching and research are

expected to discuss their plans with personnel committee and the department head. A set of goals and expectations will then be prepared based on the following guidelines. These should be identified early in his/her contract period as an assistant professor.

Documentation:

1. A substantial **peer reviewed** publication record including work performed at Oklahoma State University. This may include collaborative projects with organizations outside the University, where appropriate.
 - a. It is expected that the candidate would have published at least two full-length, **peer-reviewed**, scholarly articles, of research performed at this Institution (in his/her laboratory) in leading scientific journals of the field (as judged by the P&T Committee).
 - b. Invited scholarly articles. (If peer reviewed before publication, a clear indication needs to be provided).
 - c. Text materials published by a national (unsubsidized) publisher or already under contract and in production.
2. Receipt of an externally funded research grant and evidence of continuing applications. The external funds are expected to originate in this case from a non-Oklahoma State University administered source.
 - a. Faculty being considered for tenure will be expected to have achieved substantial extramural funding, comparable to the amount of the “start-up” costs. For these purposes, “start-up” does not refer to facilities renovation costs.
3. Excellent evaluations from a majority of external reviewers. (See selection criteria)
4. Evidence of teaching effectiveness and scholarship as measured through:
 - a. Student evaluations
 - b. Peer evaluations
 - c. Syllabi for courses designed by the candidate
 - d. Successful mentoring of graduate students as evidenced by degrees conferred.
 - e. A list of undergraduate students mentored in independent research classes.
 - f. Evidence to demonstrate what portion of the department’s teaching load has been assumed (list of classes taught and enrollment in each)
5. Evidence of service
 - a. Assumption of a normal committee load within the department.
 - b. Some service at the college or university level.
 - c. Service to regional and national professional organizations in the candidate’s field.
6. Evidence of national recognition
 - a. Invitations to present seminars (List date and venue).
 - b. Participation in national meetings.

- c. Service as a reviewer of manuscripts for established research journals and grant applications or as a member of editorial boards and review panels

Professor

Selection criteria

In addition to meeting the requirements for an associate professor, the professor will have established a highly meritorious record of instruction and will have established a record of scholarly and/or creative activity of the highest caliber. The professor must be recognized nationally as a highly competent professional. Such recognition may include a record of invitations to lecture, contribute manuscripts, and/or lead professional meetings of various types and of success in obtaining external support for teaching and/or research activities.

Evaluation criteria

For consideration for promotion to professor, an associate professor must normally have been at least four years in rank. The professor, in addition to the duties of an associate professor, is responsible for providing leadership in developing instructional programs in his/her area of expertise and for attracting high quality students. The professor has a major responsibility for discharging successfully the tasks assigned to departmental, college, and/or university committees, and/or developing and coordinating departmental extension programs. As a seasoned and mature professional, the professor contributes significantly to professional organizations. The professor exhibits the highest quality of instructional and scholarly skills, and is a prominent participant in the overall development of the department, college, and university.

The professorship is a tenured appointment unless a probationary period (not to exceed three years) is specified at the time of appointment. The professor shall be provided annually with a written appraisal of past effectiveness and provided guidelines for anticipated performance. These reviews shall conform to established university and college appraisal procedures.

Promotion to Full Professor

Assumption:

Promotion to this rank is based on the candidate's demonstration of excellence in teaching, research, and service to the university or the community. Evidence of achievement of national recognition in the area of specialization is an important component of this evaluation.

Documentation:

1. A substantial publication record including work performed at Oklahoma State University. This may include collaborative projects with organizations outside the University, where appropriate.
 - a. It is expected that the candidate would have published at least ten (10) full-length, **peer reviewed**, scholarly articles, of research performed at this Institution (in his/her laboratory) in leading scientific journals of the field (as judged by the P&T Committee).

Documentation:

In response to short-term and/or emergency needs the Department of Microbiology and Molecular Genetics may make temporary appointments.

1. When such appointments are made, the titles of lecturer, research professional, visiting assistant professor, visiting associate professor or visiting professor need to be conferred.
2. Appropriate search procedures should be used prior to making such appointments but may vary depending upon the nature of the position.
3. Unit administrators, after receiving appropriate faculty counsel, shall be responsible for recommending appointments to temporary positions. When persons are appointed to temporary faculty positions, the period of appointment shall be clearly stated and should be designated as temporary on the Employment Action Form. The letter of offer will state that the appointment will not lead to tenure nor count as part of a probationary period potentially leading to tenure.
4. Recommendations shall be forwarded to the dean of the college. When temporary appointments are made, the letter of offer should specify the term of appointment and state the conditions relating to reappointment.
5. Persons holding temporary positions may not be awarded tenure and do not have University-wide faculty voting privileges, but may be awarded other professional rights and privileges afforded the faculty.
6. The University is not required to provide notice of non-reappointment to persons holding temporary research positions but their appointments cannot be terminated before the end of the term of appointment except for those causes stated in Section 1.14 of the Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University.

Visiting Assistant, Associate or Full Professor

These titles shall be used for persons employed to meet short-term teaching, research, or extension needs. They may also be used for scholars with a terminal degree who wish to affiliate with the University for professional development. A search is recommended for appointment to any of these positions. Appointment shall be for one year and may be renewed after receiving appropriate faculty counsel.

Research Professor

Individuals with an earned terminal degree in their discipline may receive temporary appointment as research "professionals" with titles of assistant, associate or research professor. Research constitutes the primary activity, although, limited teaching responsibilities may be assigned. Funds for compensation of researchers normally originate from federal or private grants or contracts. Appointments are to be made for one year, with one-year reappointments upon successful review of accomplishments.

Research Associate

Individuals who hold an earned terminal degree related to the area of the work assignment may be appointed as research associates. Person holding one of these titles may be assigned some teaching responsibilities. Appointments are to be made for one year, with one-year reappointments upon successful review of accomplishments.

Post-Doctoral Fellow

Individuals who hold an earned doctorate and temporarily affiliate with the University to pursue additional scholarly work may be appointed as post-doctoral fellows. Persons holding this title are normally compensated from funds made available through research grants or contracts. Post-doctoral fellows are not normally assigned to teach regularly scheduled classes although they may provide occasional instruction in subjects and techniques in which they have specialized expertise. Appointments are to be made for a term of one year or less and reappointment for a total period of not more than three years may be made.

Honorary Appointments and Titles

Regents Professor

Regents Professor nomination of a faculty member shall be proposed by the Department Head as a result of faculty counsel. The nomination shall be sent to the dean of the College of Arts and Sciences and forwarded, along with a recommendation to the Vice President for Academic Affairs and the committee for Regents Professorships.

Endowed or Supported Chairs or Professorships

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

Emeritus Faculty

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

**PROCEDURES FOR REAPPOINTMENT, PROMOTION,
AND/OR TENURE**

Initiation of review:

All reviews for reappointment, promotion, and/or tenure can originate from the department head, the personnel committee, or the candidate in question. A faculty member may elect to be considered for promotion and tenure at an earlier date than required by terms of appointment. If the candidate elects to initiate the review, a letter indicating this should be sent to the chairman of the personnel committee and the department head.

THE PERSONNEL COMMITTEE

Establishment The personnel committee will consist of three regular members (all of whom must be tenured) elected by departmental faculty in April of each year. As required by the University, voting faculty members of the committee are required to be at the same level as, or above, that being sought by the candidate. In order to accomplish this, 2 of the committee members must be professors and 1 associate professor. An alternate member shall also be elected to serve when personnel actions concerning one of the regular members are considered or when fewer than three regular members are able to serve. Given the above requirement, the alternate member must be at the rank of Professor, as the Associate Professor on the committee would not be able to vote in the case of a faculty member applying for promotion to Professor. Faculty members applying for reappointment, promotion or tenure may not serve on the P&T committee in the year of their application. Special elections may be held whenever a regular or alternate position falls vacant.

Representation All full time tenure-track and tenured faculty will be eligible to vote for the make-up of the P&T committee. Faculty members will be notified of meetings involving a vote in writing at least a week prior to the meeting. Any formal motion presented for action can be accepted by a vote of the majority of the faculty. The composition of the committee should reflect that of the faculty by discipline, rank, sex, and minority status. Alternates serve for one year, regular members for staggered three-year terms. When possible, one of the committee members serving the third year of his/her term will be chosen by the committee to serve as chairman for one year. A majority of the members of the P&T committee must be tenured at all times.

Department Faculty Input All departmental tenure and tenure-track faculty may provide input to the personnel committee concerning a candidate for promotion. This will be accomplished by means of a faculty meeting by all tenured and tenure-track faculty with the exclusion of the candidate for promotion to be discussed. The meeting will be announced at least 1 week prior to the meeting and the candidate's promotion documentation will be available to the faculty during that week. However, the outside recommendation letters will not be available to all faculty members to preserve confidentiality. All departmental tenure and tenure-track faculty will have the opportunity to provide input and produce a statement to the personnel committee during the faculty meeting and this statement shall be included in the P&T committee's recommendation letter to the Department Head. Absent faculty may choose to present a written opinion delivered to The Department Head prior to the faculty meeting.

Action The personnel committee will 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. They are not to be automatic. The personnel committee shall judge any candidate for promotion on the basis of capacity for and demonstrated performance in teaching, research, extension activities, and commitment to university, professional, and other public service. The candidate's performance is to be judged in comparison to that expected for similar ranks at equivalent institutions of higher learning.

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

Confidentiality All discussions of a personnel committee shall be confidential.

Notification of the Candidate The candidate shall be notified whenever he or she is to be considered for tenure or promotion, and shall be invited to submit evidence supporting the candidacy. The candidate shall be provided copies of all recommendation letters coming from the unit's personnel committee and administrator as they are submitted.

DOCUMENTATION TO BE PROVIDED TO THE COMMITTEE

The candidate will submit an updated *vita*, a list of potential external peer reviewers (see below), and documentation of achievements following the guidelines given in the previous section. The committee may require additional documentation.

Additional documentation required for consideration for tenure:

When the candidate applies for tenure (no matter what his/her rank), he/she must prepare self-assessment statements for "Research Interest" and "Teaching Philosophy." These essays should be submitted with the other documentation required for the promotion action under consideration.

Collaborators & other affiliations:

The candidate must provide the P&T committee and department head with the following:

Graduate and Post-Doctoral Advisors A list of the names of the individual's own graduate advisor(s) and principal postdoctoral sponsor(s), and their current organizational affiliations.

Collaborators. A list of all persons in alphabetical order (including, where possible, their current organizational affiliations) who are currently or who have been collaborators or co-authors with the candidate on a project, book, article, report, abstract, or paper during the 48 months preceding the current action. This list should include any postdoctoral fellows mentored. If there are no collaborators, this should be so indicated.

Graduate Students Advised. A list of all persons (including, where possible, their organizational affiliations) advised during their graduate study towards the MS or PhD degree by the candidate since his/her appointment to the university. If there are no such persons, this should be so indicated.

Prior professional service:

University policy does not officially recognize “credit” for prior service and activities at other institutions; professional productivity in such service may be considered in overall evaluation for reappointment or promotion (and hence the establishment of tenure).

External peer review of scholarship:

In addition to conducting its own independent evaluation of a candidate's scholarship, the academic unit must undertake an external peer review. A minimum of three peer reviews is required. The personnel committee, the unit administrator, and the candidate should compile a list of potential reviewers. The unit administrator or the chair of the personnel committee shall contact peer reviewers only from this list and forward to the reviewers the materials needed to assess the candidate's scholarship.

External peer review:

Review of peers outside the University is mandatory for persons being considered for a promotion. The faculty member should submit in writing to the personnel committee the names of five peers who are qualified to evaluate critically his/her work and may additionally wish to indicate any peers regarded as unsuitable for this purpose. No person identified under “Collaborators & other affiliations” may be included on this list Candidates for promotion to professor must include at least two international referees in the list. Evaluation of the candidate will be solicited by the personnel committee from a minimum of three outside peer reviewers, two of whom shall be from those names submitted by the candidate. External peer reviews are to be seen by the personnel committee, the department head, and by persons in the administrative chain of decision with a need to know. All solicited letters received from external reviewers must be included in the documentation file.

Confidentiality:

A faculty member will be entitled to inspect the contents of his/her departmental personnel file. A candidate may waive the right to access outside reviews. Such waivers shall not be assumed, implied or coerced, and must be executed in writing prior to solicitation of outside reviews (The form which appears at Attachment 2 to the university’s “Reappointment, Promotion, and Tenure Process for Ranked Faculty” Policy and Procedures document #2-0902, September 2000 will be used for this purpose). 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.

Documents to be provided to the Dean:

The personnel committee will submit a written recommendation on each case it reviews to the Department Head. This report is to be signed by all committee members who participated in the review. In addition, a copy of the faculty member’s *curriculum vitae* and letters from outside paper reviewers will be submitted. The department head will forward this material to the dean along with his/her own recommendation and additional documentation required in the *Oklahoma State University reappointment, Promotion/Tenure Recommendations Form, Summary of Recommendations*.

The candidate has three working days from the receipt of this letter to respond in writing

(maximum 1,000 words) to a majority negative recommendation from the committee. This response should be submitted to the unit administrator, and included in the documentation file for the candidate.

Notification of candidates:

Within three days of completion and submission to the department head, the candidate will be given a copy of the P&T committee's recommendations to the department head. If the recommendation is negative, the candidate has the right to prepare a written response to these recommendations and submit it to the department head. This response must be submitted to the department head within three days of the date of the candidate's receipt of the P&T recommendations. After the department head formulates his/her recommendation and conveys the recommendation letters (committee's and head's) with the candidate's file to the Dean, the head will give a copy of his/her recommendation letter to the candidate. The department head will then keep the candidate informed of the progress of his/her candidacy through the administrative channels.

Appendix A

Faculty Evaluation

Faculty in the Department of Microbiology and Molecular Genetics are to be evaluated separately in each of the relevant categories (teaching, research & scholarship, service & professionalism, and, where applicable, extension or administration) according to the following scale.

CATEGORY A: **Outstanding**

In research, the faculty member has produced research or creative activity of the highest level, which is consistent with a national or international reputation; in teaching, the faculty member consistently provides outstanding instruction; in service and professionalism, the faculty member has a record of outstanding service to the department, university, and the profession.

CATEGORY B: **Excellent**

In research, the faculty member consistently maintains excellent scholarly or creative activity; in teaching, the faculty member consistently provides excellent instruction; in service and professionalism the faculty member has an excellent record of service and exhibits qualities of professionalism.

CATEGORY C: **Good**

In research, the faculty member shows evidence of good scholarship; in teaching, the faculty member consistently provides good instruction; in service and professionalism, the faculty member has a good record of service and exhibits good qualities of professionalism.

CATEGORY D: **Minimal**

Faculty member discharges minimum requirements for position.

CATEGORY E: **Inadequate**

Faculty member gives consistently *inadequate* performance, which does not meet even the minimum requirements for the position and does not show necessary improvement.

A cumulative evaluation, weighted according to the “percent effort” in each category, will be given. If the percent effort for the upcoming academic year will deviate from the department standard, this variation will be discussed and agreed upon by the faculty member and Department Head during the A&D interview

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