

**DEPARTMENT OF CHEMISTRY AND BIOCHEMISTRY
UNIVERSITY OF OKLAHOMA**

FACULTY PERSONNEL POLICY

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1. Mission

The mission of the Department of Chemistry and Biochemistry is to serve the the State of Oklahoma and the Nation through formal teaching of the chemical sciences to our undergraduate majors, those in cognate disciplines and as part of the general education programs of the College of Arts and Sciences about the role of the chemistry and biochemistry in understanding the natural world, by the professional training of graduate and postdoctoral researchers in the chemical sciences, by providing expert advice and consultation to educational, industrial and governmental units, by creating and disseminating new understanding of chemistry and biochemistry through research, and by participating in service to the university and professional communities.

2. Achieving Our Goals

Central to the effort of fulfilling our mission is the development of a faculty of the highest quality. Evaluations of performance, promotion in rank, and salary advancement are useful devices in guiding this development, but the critical step in the process is the granting of tenure. The process by which a tenure decision is reached must be procedurally correct and employ sound academic criteria. The terms and procedures in use are defined in the current Faculty Handbook.

3. Career Development

The faculty personnel policies of the Department and the University emphasize the procedures used to evaluate and reward faculty performance. However, at least as important to the success of the University in meeting its obligations are the efforts made to improve faculty capabilities and productivity. Administrators and faculty at all levels have the responsibility for developing programs to improve the effectiveness of faculty.

New members of the faculty may require expert counseling and assistance as they assume their duties as scholars and teachers and are urged to take part in orientation programs designed to improve research and teaching. Experienced faculty have an obligation to aid new faculty members in developing successful research programs and becoming skillful instructors. Regular consultation with the Chair and Committee A, provided for elsewhere in this document, should be a constructive force in shaping the careers of un-tenured faculty. In addition, a new un-tenured faculty member, after consultation with the Chair and Committee A, may ask one or more senior faculty members to serve as mentors during her or his probationary period.

Faculty at all levels should strive to improve their teaching and research skills. To assist in this improvement, the Department must commit resources to help faculty develop research programs and better teaching techniques. The Department should offer assistance in planning sabbaticals, preparing proposals, and presenting research results. The Chair and Committee A must be sensitive to the legitimate needs of faculty striving to become better teachers and scholars, and must provide the needed support and may take the lead in developing the spirit of cooperation and mutual trust which is so essential to faculty members trying to reach their maximum potential.

4. Departmental Organization

Departmental administration is described in Section 2.8.2 of the Faculty Handbook.

4.1. The Faculty. Faculty positions are classified as: **4.1.1.** Tenured or Tenure-track Faculty (Research Emphasis), **4.1.2.** Tenured or Tenure-track Teaching Emphasis Faculty, **4.1.3.** Ranked, Renewable Term Faculty, **4.1.4.** Affiliate Faculty with a 0.0 FTE appointment in this department, **4.1.5.** Research Professors, **4.1.6.** Adjunct Faculty and Instructors. Departmental Regular Faculty are defined as all tenured, tenure-track or

ranked renewable term members with the rank of Assistant Professor or higher with at least a 0.5 FTE appointment in this department. It does not include Affiliate Faculty with less than a 0.5 FTE appointment in this department, Research Professors, Adjunct Faculty, Lecturers, Instructors or other temporary appointees. Affiliate Faculty with less than a 0.5 FTE appointment in this department, Research Professors or Adjunct Faculty may at the discretion of the departmental faculty and approval by Committee A be given various departmental privileges.

4.2. The Chair. The Chair is the administrative officer of the Department and represents the Department in relations with other departments, with the Dean, and with other administrative officers of the University. The Chair provides leadership in matters of policy determined by the faculty of the Department and is responsible for administering the affairs of the Department in accordance with these policies and with those of the College and University. The Chair is accountable to both the Department and the Dean.

4.3. Committee A. Committee A consists of the Chair and two faculty members elected by the regular faculty each for a staggered two year term. The election should take place in May every year, and the newly elected member of Committee A should start his or her service on June 1.

4.4. The Assistant Chair. The Assistant Chair is a faculty member who is appointed by the Chair, subject to the ratification of the faculty, and serves at the pleasure of the Chair. The performance of the Assistant Chair is reviewed annually by the Chair, who should consider evaluation information from the faculty.

4.5. Revision in the Department of Chemistry and Biochemistry Faculty Personnel Policy. Revisions to the Department of Chemistry and Biochemistry Faculty Personnel Policy can be recommended by a 2/3 majority vote of the total regular faculty during the second of two successive meetings called for this purpose at least 7 calendar days in advance.

4.6. Procedural Calendar. As soon as the appropriate information is available, the Chair shall publicize a calendar listing the dates for initiating action on reappointment, tenure, promotion and performance evaluations.

4.7. Teaching Assignments. Each year, faculty within each discipline should discuss upcoming graduate and advanced disciplinary course needs and directly pass any teaching recommendations or requests to the Assistant Chair. These data along with projected graduate student enrollment information and departmental instructional needs at both the undergraduate and graduate levels will be evaluated to make teaching assignments. The Chair is ultimately responsible for determining the teaching assignments.

4.8. Chemistry and Biochemistry Department Personnel File. A personnel file containing pertinent information for recommendations of reappointment, tenure, promotion, performance evaluations and salary advancement shall be maintained in the Department of Chemistry and Biochemistry for each regular faculty member and Research Professor. In these procedures in which a formal evaluation of performance is placed in the file, a copy must be provided to the faculty member. The faculty member may also add a response to the evaluation. Each addition to a personnel file must be dated. No material may be expunged from a personnel file without the knowledge and consent of both the faculty member and Committee A. A faculty member has the right to inspect and obtain a copy of all material in the file that was not obtained under University confidentiality procedures.

4.9. Adjudication Policy. Questions surrounding interpretation of existing departmental

policy or criteria shall be resolved by a departmental faculty meeting called for this purpose.

5. Definition and Duties

5.1. Tenured/Tenure-track Faculty (Research Emphasis). Tenured/Tenure-Track Faculty with a research emphasis are appointed as tenure-track teacher-scholars whose duties combine a strong disciplinary research/creative activity component including research group mentoring, undergraduate and graduate disciplinary instruction, and university and professional service. Most regular faculty in the Department of Chemistry and Biochemistry have a research emphasis. The typical formal instructional load for Faculty with a research emphasis is one course per semester on this nine-month appointment (1/1 load). Since the University standard teaching load is two courses per semester, faculty with a research emphasis are expected to provide the equivalent of one course per semester mentoring research students and maintaining needed research support.

Faculty responsibilities in research/creative activity, teaching, and service are often intermingled and difficult to account for in the official 40 hour work week. To better evaluate the overall performance of faculty, evaluation scores are sectioned by assigning different weights to each of the three categories. A typical evaluation distribution for tenured Research Emphasis Faculty will be 60% research/creative activity, 30% course instruction and 10% service. For Research Emphasis Faculty during the tenure probationary period the typical evaluation distribution will be 65% research/creative activity, 30% course instruction and 5% service. Instructional effort equivalent to one course per semester (15%) is included in the research/creative activity category in direct recognition of student research mentoring. Research Emphasis Faculty who do not fulfill this research student mentoring role will teach a third course per year (2/1 load with 45% research/creative activity, 45% course instruction and 10% service) or four courses per year (2/2 load with 30% research/creative activity, 60% course instruction and 10% service) as approved by Committee A. Research Emphasis Faculty members who are engaged in high levels of academic and/or professional service may have a higher percent service evaluation approved by Committee A. Research Emphasis Faculty are expected to contribute broadly in undergraduate and graduate level instruction. All changes in course load and evaluation distribution must be approved by the Dean.

The rights of Faculty with a Research Emphasis include (with appropriate Graduate Faculty status): Chairing Ph.D. and M.S. graduate student committees and serving on Ph.D. and M.S. graduate student committees; Voting on tenure decisions (if tenured); Voting on faculty promotion (if promotion rank or beyond is held); Voting for Chair and Committee A; Serving as Chair or on Committee A. Research Emphasis Faculty may be involved in faculty governance and curriculum development including chairing relevant departmental and college committees, and are normally eligible for career development opportunities such as applying for internal college and departmental support for professional activities.

Faculty with a Research Emphasis may hold a non-zero FTE split appointment with another academic unit. All new non-zero split appointments must be indicated by a contract letter from the Provost stating all conditions of the split appointment. A memo of understanding designating the split duties and responsibilities of each unit in evaluating the faculty member, identifying the administrative unit as the unit that will coordinate and ensure that one evaluation is conducted for the faculty member for all forms of evaluation (annual, progress toward tenure, post tenure review, and any other form of review or evaluation). The memo of understanding must be approved by each Department or Program or School, the College Dean(s), and the Provost. It is typically expected that the salary and teaching

duties will be partitioned in proportion to the percent FTE split. Annual and progress towards tenure evaluations, tenure and promotion recommendations, post-tenure review evaluations will be conducted by each department with the details of weighting established in the policy agreement for each split appointment faculty member.

5.2. Tenured/Tenure-track Teaching Emphasis Faculty. Appointments as Teaching Emphasis Faculty are used to recruit and retain high quality teacher-scholars to support and enhance the undergraduate disciplinary instructional program and where appropriate the graduate Chemical Education program of the Department of Chemistry and Biochemistry. The primary responsibilities of Teaching Emphasis Faculty will be undergraduate teaching and teaching-related activities including grant-writing efforts that benefit both instructional and research aspects of the undergraduate program, service activities of direct relevance to the undergraduate program, and where appropriate the graduate Chemical Education program. Teaching Emphasis Faculty may be assigned responsibilities for undergraduate curricular developments in their disciplinary area or for the general chemistry program. Although primarily an instructional appointment, Teaching Emphasis Faculty are encouraged to develop and/or participate in an active research program particularly involving undergraduates, engage in other creative activities such as the development of innovative teaching techniques and methods, and/or mentor Chemical Education graduate students. The standard instructional load for Teaching Emphasis Faculty in the Department of Chemistry and Biochemistry is two courses per semester on this nine-month appointment (2/2 load). A typical evaluation distribution for Teaching Emphasis Faculty during the tenure probationary period will be 70% course instruction, 25% research/creative activity and 5% service. Following the award of tenure this evaluation distribution will normally become 70% course instruction, 20% research/creative activity and 10% service. All changes in course load and evaluation distribution must be approved by the Dean.

The professional activity of a Teaching Emphasis Faculty member will typically be focused on the undergraduate program and hence such faculty may teach graduate courses only in the Chemical Education discipline. Provided that such faculty meet appropriate Graduate College criteria they may be given graduate faculty status so that they can serve on M.S. degree thesis committees or Ph.D degree dissertation committees and, where appropriate, direct the research of M.S. degree students in any Chemistry or Biochemistry discipline as well as the research of M.S. or Ph.D. students in the area of Chemical Education, particularly as related to the development of the undergraduate curriculum. While research/creative activities that benefit the undergraduate program are expected, there is no set expectation as to whether those activities include mentoring and supporting M.S. or Ph.D. degree students. The faculty voting rights for Tenured/Tenure-track Teaching Emphasis Faculty are the same as for Tenured/Tenure-track Research Emphasis Faculty.

5.3. Ranked, Renewable Term Faculty. Appointments as Ranked, Renewable Faculty are non-tenure track and are used to recruit and retain high quality faculty to support and enhance the undergraduate instructional programs and initiatives in the Department of Chemistry and Biochemistry. Ranked, Renewable Term Faculty are renewed yearly upon satisfactory performance for a specified number of years. The primary responsibilities of Ranked, Renewable Term Faculty will be undergraduate teaching and teaching-related activities including advising of majors, spearheading grant-writing efforts that benefit both instructional and research aspects of the undergraduate program, and service activities of direct relevance to the undergraduate program. The duties and percent evaluation distribution will be tailored to and established for each Ranked Renewable Term Faculty member at the time of appointment. A description of the specific duties commensurate with

the appointment will be provided to the faculty member upon hiring and a copy placed in the permanent faculty file. Ranked Renewable Term Faculty at the rank of Assistant Professor, Associate Professor or Professor are defined as members of the Regular Faculty on the Norman Campus. Such ranked renewable term faculty can be elected to serve as members of the Norman Campus Faculty Senate. Notwithstanding the term of the appointment, this policy is subject to all applicable College of Arts and Sciences and University policies. In case of conflict, College and University policies will take precedence. A Renewable Term Faculty member may be given the title of instructor, lecturer, assistant professor, associate professor or professor as appropriate to the individual's professional credentials and background. The length of the term will ordinarily be three (3) to five (5) years as approved by the Department of Chemistry and Biochemistry, the Dean of the College of Arts and Sciences, and the Senior Vice-President and Provost. Appointments are reviewed and may be renewed as provided below.

Except as provided by this policy or by College and University policies, Ranked, Renewable Term Faculty shall have all the rights and responsibilities of other faculty with the same title. The following rights and privileges are, however, restricted to tenured and tenure-track faculty: voting on tenure decisions (tenured faculty only); voting on promotion decisions for tenured/tenure-track faculty; appointment as chair; direction of the research of graduate student MS theses and Ph.D. dissertations or serving as major advisor to graduate students; voting on issues relating to research and graduate education (except if the term appointment has a graduate program component); service on or chairing graduate student Ph.D. advisory committees.

Otherwise, Ranked, Renewable Term Faculty fully share the rights and duties of tenured/tenure-track faculty, including but not limited to the following: involvement in faculty governance and curriculum development including serving on or chairing of relevant departmental and college committees; eligibility for career development opportunities, for example, applying for internal college and departmental support for professional activities.

The duties of Ranked, Renewable Term Faculty will ordinarily emphasize teaching and service. However, a Ranked, Renewable Term Faculty member's evaluation distribution may include teaching, service and research/creative activity in any combination consistent with the needs of the Department of Chemistry and Biochemistry and College and University policies. The standard instructional load for Renewable Term Faculty will be three lecture courses per semester (3/3 teaching load). Where appropriate and approved the Dean of the College of Arts and Sciences, one course per semester may be replaced by equivalent instructional service effort in establishing standardized syllabi for multiple sections of very large enrollment courses, overseeing instructional laboratories, coordinating common exams, coordinating activities of teaching assistants, coordinating grading between multiple sections of such courses, coordinating interdepartmental research mentoring of undergraduates, or coordinating placement of undergraduates into research groups. All changes in course load and evaluation distribution must be approved by the Dean.

5.4. Affiliate Faculty. Affiliate Faculty hold an appointment in another unit at the University or in another organization but are also contributing significantly to the research, instructional and/or service missions of the Department of Chemistry and Biochemistry. In order to recognize formally such ties and engagement they may be appointed on a year-to-year basis for a specified number of years as a 0% FTE Affiliate "job title" in the Department of Chemistry and Biochemistry. Their affiliate job title will be based on their title in their home unit, for example, Affiliate Assistant Professor, or Affiliate Senior Scientist. The Department provides no salary and Affiliate Faculty do not participate in

Regular Faculty department governance. Affiliate Faculty may be considered for enhanced access to Departmental and University facilities including building, digital university resources, an email account and inclusion on the Department web site. Where appropriate, Committee A may grant permission to Affiliate Faculty from the University of Oklahoma to co-direct research by M.S. or Ph.D. students. A record of privileges and responsibilities will be established in an appointment letter and maintained by the Department Chair. Procedures for naming and reviewing Affiliate Faculty are described in other sections of this Faculty Personnel Policy.

5.5. Research Professor. The Research Professor position is non-tenure track, with renewable term appointments at the rank of Research Assistant Professor, Research Associate Professor or Research Professor. This track is used to recruit and/or retain top research scholars to support and enhance major research programs and initiatives in the Department of Chemistry and Biochemistry. Candidates for these positions must demonstrate significant capability or potential both to conduct high quality research and obtain external research grant funding. The primary responsibilities of these faculty will be research and research-related activities including proposal writing, project management, and grant-funded teaching and service specifically linked to their research programs (e.g., undergraduate and graduate student supervision and service for professional organizations). Notwithstanding the term of appointment, the existence of any research professor position is at all times subject to the availability of funding as described in the OU Norman Faculty Handbook. A research group is eligible for a research professor position when it can document that the group has a research program that can bring in sufficient funds to pay all costs of the program plus those of the proposed position for at least three years without additional Educational & General University Funding. Research professor appointments are temporary, renewable appointments not subject to the seven-year probationary period applicable to tenure-track faculty. Procedures for naming and reviewing research professors are described in other sections of this Faculty Personnel Policy.

5.6. Adjunct Faculty and Instructors. Adjunct faculty hold a regular faculty appointment within the University but are also contributing directly to the instructional mission of the Department of Chemistry and Biochemistry. Such appointments are typically semester-by-semester and are non-tenure track. In accordance with their faculty title in their home unit, their title will be Adjunct Assistant Professor, Adjunct Associate Professor or Adjunct Professor of Chemistry and Biochemistry. They may use this title only during the semesters in which they are directly appointed to an instructional role within the department. The instructional load and salary will be negotiated and specified in the offer letter at the time of hiring. Adjunct Faculty members do not participate in regular faculty governance but do have access to buildings, digital university resources and an OU email account during their appointment.

Instructors and Lecturers do not hold a regular faculty position in another unit and are appointed to contribute directly to the instructional mission of the Department of Chemistry and Biochemistry. Such appointments are typically semester-by-semester and are non-tenure track. Instructors may use the title of Instructor of Chemistry and Biochemistry only during the semesters in which they are directly appointed to an instructional role within the department. The instructional load and salary will be negotiated and specified in the offer letter at the time of hiring. Instructors do not participate in regular faculty governance but do have access to buildings, digital university resources and an OU email account during their appointment.

6. Recruitment and Hiring

6.1. Regular Faculty (Tenured/Tenure-track Research or Teaching Emphasis Faculty, or Ranked, Renewable Term Faculty). In requesting a regular faculty position the department faculty must first determine the discipline and rank in which a new member will be sought. The Chair, an ad hoc strategic planning committee or groups of faculty members may recommend hiring areas of strategic importance to the Department and University. The time of the faculty meeting at which this decision is to be reached must be announced sufficiently in advance so that interested parties can prepare their recommendations for consideration by the faculty. After departmental priorities have been determined by vote, the Chair will prepare the required Regular Faculty Recruiting Application to seek permission to fill these positions. This form provides an analysis of Department and University strategic needs and a proposed job description. A recommended Search Committee will be listed that includes departmental members inside and outside the discipline in which the new member is to be sought, one faculty member from outside the department, and a graduate student representative. Once the permission to recruit is granted, the Search Committee Chair assumes responsibility for continuing the recruiting process.

The Search Committee should meet in advance of advertising the position in order to organize their recruitment activities and to set primary and secondary screening criteria. The Committee is responsible for departmental compliance with the Office of Equal Employment Opportunity, Provost, and CAS hiring policies and procedures. Members of the Search Committee and the Chair are also expected to be in contact directly with colleagues at other institutions to solicit candidates. The Administrative Assistant to the Chair will assist in placing ads, tracking applicant information and posting to or tracking the online portfolio site. After passing the posted date for starting evaluation of applications, the Search Committee will conduct the primary and secondary screening to arrive at a list of well-qualified candidates. The committee should then generate a short list of candidates for consideration by the faculty at a meeting announced for this purpose. This short list should contain more than the number of candidates as are likely to be invited for interview, and the list should be available in sufficient time for the faculty to have the opportunity to examine the application materials before the meeting. The Search Committee is allowed to conduct phone or video discussions with the candidates prior to making their final recommendations to the faculty. The faculty will then be called upon to recommend invitations for interview visits. The Chair will request permission from the CAS Dean to conduct on-site interviews with the recommended candidate(s).

The campus visit should be used to provide information to the candidate and to assist in the evaluation of the candidate's aptitude to fulfill the job description. The candidates must be provided opportunity to demonstrate as appropriate their research and instructional abilities to a wide audience. Access to the candidate is the right of each faculty member, and should be accorded to groups of graduate and undergraduate students as well. The faculty determines by vote whether an offer is to be recommended, at what rank, whether tenure is to be conferred, and other major terms of the offer. A rank-ordered list of candidates may be voted within a contingency plan.

The Chair will seek permission from the CAS Dean to negotiate with the top candidate. If subsequent negotiations clearly exceed faculty intent, the faculty must meet to approve the new terms. Only the Provost may make an official offer of appointment subject to Regents' approval, but the Provost offer letter does not typically spell out all of the department level details. The Chair and the Candidate will sign a separate terms-of-agreement letter for inclusion in the faculty member's personnel file. If all offers are declined the Search Committee must come before the faculty again to propose additional candidates. If an offer

has not been accepted within one year of the authorization to recruit, then the departmental needs shall be reassessed by the faculty and the search process reinitiated or continued pending approval by the University Administration.

The Department is committed to partnering with the College and the University to increase the diversity of our faculty. It is the policy of the Department to pursue all reasonable avenues to widen the pool of applicants to be inclusive and to select those candidates who best satisfy the criteria for the rank which they seek, and would contribute best to the long-range goals and future development of the Department and University.

6.2. Affiliate Faculty. Eligibility for an Affiliate appointment in the Department of Chemistry and Biochemistry is based on demonstrating the benefits of such an affiliation to the department. Nominations for affiliate status may originate from Committee A or from individual faculty members on behalf of a collaborator. The nomination must include a statement of benefit to the department and supporting documentation including a full CV from the candidate for affiliation. The scope of privileges and the term of affiliation must be included in the nomination materials. The candidate must give or have presented within the twelve months prior to the nomination a research seminar to the department. After discussion at a regular faculty meeting, a majority of faculty must approve the appointment. Approval by Committee A and the Chair are then required to complete the departmental process. In cases where the candidate is not already employed at the University of Oklahoma, a 0.0 FTE appointment as Affiliate “current job title” in the Department of Chemistry and Biochemistry will be submitted to the Provost for approval.

6.3. Research Professors. A research group is eligible for a research professor position when it can document that the group has a research program that can bring in sufficient funds to pay all costs of the program plus those of the proposed position for at least three years without additional Educational & General University Funding.

The director of the research group, a tenured or tenure-track faculty member in the Department of Chemistry and Biochemistry, will follow procedures established by the Vice President for Research to request from the Senior Vice President/Provost permission to recruit for the position. The position may be advertised in appropriate national publications with applications reviewed by a search committee chaired by the director of the research group funding the position.

The search committee shall consist of tenure-track or tenured faculty within the Department of Chemistry and Biochemistry and at least one tenure-track or tenured faculty member from outside the department. Applicants for these positions shall be considered eligible if they meet the required qualifications determined by the director of the research program and other members of the search committee. The search committee shall recommend a candidate to the Chair and Committee A for approval. The Chair and Committee A shall present the approved candidate, together with a recommendation for rank, to the tenured and tenure-track faculty in the department for a vote of approval or disapproval. Approval will be by a majority of voting faculty.

The recommendation of the faculty will be forwarded to the Dean of the College of Arts and Sciences for his/her endorsement. The credentials and final recommendation to appoint a research professor shall be reviewed by Research Council, whose recommendation shall be forwarded to the Senior Vice President and Provost for review prior to presentation to the President and University of Oklahoma Regents.

6.4. Adjunct Faculty and Instructors. In advance of each instructional term, the Chair and Assistant Chair will evaluate the instructional needs of the department and request

permission to hire temporary instructors to cover any anticipated shortfalls. These shortfalls may arise due to Sabbatical or other leaves, retirements, teaching buy-outs, increased enrollments or the need to offer specialty training. Candidates for an Adjunct Faculty or Instructor appointment should have a Ph.D. in a relevant field or have significant specialized skills and experience in the topic of instruction. Where appropriate, the department may appoint advanced graduate students as instructors as part of their professional training, particularly in the summer terms. Candidates must demonstrate their effectiveness as instructors for the assigned courses. Candidates who have recently established their effectiveness as classroom instructors in our program may be reappointed upon recommendation of the Assistant Chair and Chair. Candidates who have not recently provided instruction for the department must be evaluated for effectiveness by an ad hoc committee consisting of two regular faculty members with experience in the area being taught and the Assistant Chair or Chair. This evaluation should include a classroom visit or a demonstration lecture as well as a discussion of pedagogy.

7. Annual Evaluation of Faculty

7.1. Percent Evaluation Distribution. Recommendations for promotion, awards and salary adjustment will be based upon systematic evaluation of the faculty performance. Normally, the evaluation distributions for Research Emphasis Faculty are: 30% for teaching, 60% for research scholarship and creative activity, and 10% for professional/university/administrative service. For Teaching Emphasis Faculty the evaluation distribution of 70% teaching, 20% research/creative activity and 10% service are typical. However, depending on specific faculty assignments, contributions to the overall development of the Department and the University, and the particular departmental responsibilities of the faculty member, the weightings given in these categories may be modified after the faculty member consults with the Chair and Committee A and reaches a consensus agreement. The evaluation distribution for Ranked Renewable Term Faculty will be established in the hiring documentation. The period for annual evaluation purposes is 1 January to 31 December. Recommendations for merit salary increases will be made based on the numerical average of cumulative evaluation scores over the most recent three year period. However, special action to remedy salary inequities and longer trends in performance may be considered in consultation with the Dean. Any changes of teaching load or evaluation distribution needs written approval by the dean.

7.2. Procedures

7.2.1. The Chair shall call for Curriculum Vitae and supporting materials from all Tenure-Tenure Track Faculty, Ranked Renewable Term Faculty and Research Professors annually, usually by the end of the calendar year being evaluated. Materials for tenured and tenure-track faculty should address the criteria of Promotion and Tenure, and be organized so that the chronological sequence is clear and work in progress can be distinguished from work completed. Materials for Ranked Renewable Term faculty should address the focus of their duties. Materials for Research Professors should emphasize their assigned duties. Starting in Fall 2016 each regular faculty member or Research Professor will track their activities using the online Faculty Activity System (FAS) hosted by the Provost's office. The information recorded in the FAS will be used to generate reports for annual performance evaluations. Much of the information used for the department level annual activity report will be in the annual report required for the Provost. Additional departmental report materials are listed in Appendix I. Protocols for evaluation of instructional and mentoring activities are included in Appendix I.A. Faculty will provide to the Department each January three items for annual evaluation: a) The Annual Activity Report for the Provost, b)

Supplementary information for the Department, including copies of publications as detailed in Appendix 1, c) A full updated CV.

7.2.2. The Chair and Committee A shall evaluate the performance of each faculty member in each of the criteria categories and shall prepare the Provost's Annual Performance Evaluation form for each faculty member. This form is used to communicate judgments regarding strengths and weaknesses and as supporting information for salary decisions and shall be placed in the personnel file with a copy being given to the faculty member for signature before it is forwarded to the Dean. The Chair, Committee A, and the faculty member shall meet for purposes of clarification of the evaluation in response to a written request from the faculty member. An official memo resulting from this meeting will be communicated to the faculty member and forwarded to the Dean. Faculty may include comments directly to the Dean in the faculty response section.

8. Reappointment

Term appointments are made for the academic year. Action on reappointment or non-reappointment for the following year originates with the Chair. Reappointment of Ranked Renewable Term and Tenure-Track Faculty follow the following procedures.

8.1. Notification of Expiration of Appointment

All notifications of non-reappointment shall be given in writing by the Senior Vice President and Provost in accordance with the Faculty Handbook.

8.2. Criteria for Reappointment of Tenure-Track Faculty. The criteria for reappointment are based upon those for tenure. Annual reappointment should be made only on evidence of progress toward eventual tenured status. Evaluation for reappointment considers performance over an individual's entire professional career.

8.3. Procedures for Progress Towards Tenure and Deciding Reappointment of Tenure Track Faculty

8.3.1. The Chair and Committee A will confer each year with each member of the faculty holding a tenure-track appointment to review the expectations and accomplishments in each criterion category. A written Progress Towards Tenure letter of evaluation will be provided to the faculty member each year during the probationary period, typically in April. Faculty members will be notified of reappointment recommendations prior to the applicable notification deadline for reappointment (March 1 in the first year, December 15 in the second year, and May 31 in the third and subsequent years), with copies placed in the member's personnel file and with the Dean

8.3.2. In the Spring semester of the third year, candidates having a six-year tenure probationary period will have a separate mid-tenure review. If Committee A evaluates the third year faculty member as clearly making satisfactory progress towards tenure, the third year Progress Towards Tenure letter will serve as this comprehensive and cumulative mid-tenure review and will include a statement documenting this dual use.

8.3.3. When a separate third year mid-tenure review is initiated, the following materials will be made available to the tenured faculty for review and evaluation: (i) complete curriculum vitae, (ii) the candidate's annual letters of progress towards tenure, (iii) annual letters (or forms) of evaluation, (iv) published papers, (v) manuscripts accepted and submitted for publication, (vi) student evaluations of teaching, (vii) letters of peer teaching evaluation, and (viii) a written summary of accomplishments in research,

teaching, and service prepared by the candidate. Although not required, the candidate, the Chair, or Committee A, may request that external letters of evaluation be solicited. The candidate should be advised to consult with the Chair and other senior colleagues concerning what other items to include. The responsibility for the content resides wholly with the candidate, however. Protocols for teaching evaluation are found in Appendix I.A.

8.3.4. The Chair in consultation with the candidate will appoint an *ad hoc* Committee consisting of two faculty members mutually acceptable to the Chair and the candidate to facilitate discussion of the candidate's record and to acquaint the faculty with the issues involved. The Committee should be prepared to digest and summarize the candidate's material for presentation to the meeting at which the faculty votes, and to discuss the candidate's strengths and weaknesses in the tenure criteria categories and the evidence for satisfactory progress toward eventual tenured status.

8.3.5. Tenured faculty members, Committee A and the Chair will provide recommendations regarding the candidate's mid-tenure evaluation according the following procedure:

8.3.5.1. Preceding the vote all available members of the faculty (including tenure-track faculty) with the exception of the candidate should meet for a discussion of the candidate's accomplishments and likelihood for an eventual success with tenure.

8.3.5.2. Formal consideration originates with the polling by secret ballot of the tenured members of the departmental faculty including, when practicable, the counting of *in absentia* ballots. Members of Committee A shall act as tellers.

8.3.5.3. The Chair and Committee A will submit separate recommendations with supporting reasons in writing, and forward these with the faculty vote to the Dean.

8.3.6. The Chair will inform the candidate and the faculty of the recommendations made and their progress through the various stages of the review process as the Chair receives word of them.

8.3.7 Recommendations for reappointment each year beyond the third year review will be based on satisfactory cumulative progress towards tenure letters prepared by Committee A. In cases where unsatisfactory progress has been made for extended review periods, Committee A may recommend to the Dean and Provost non-reappointment beyond the following year as stipulated by University policies.

8.4. Reappointment of Ranked Renewable Term Faculty. During the final year of a term appointment, and prior to notifying the term faculty member whether or not he/she will be reappointed to a subsequent term, the faculty member will undergo a comprehensive and thorough evaluation of his/her performance during the entire current term. This process shall begin no later than the start of the semester prior to the final semester of the faculty member's term.

The procedure for conducting the comprehensive evaluation shall be as follows:

8.4.1. At the time of initiation of the comprehensive evaluation the Chair shall request the candidate to submit materials that will be helpful in the evaluation. The materials should provide information bearing on the candidate's abilities and accomplishments in teaching, service, and, if appropriate, research. The candidate should consult with the Chair and other colleagues concerning what to include. Nevertheless, the responsibility for the contents resides wholly with the candidate. The evaluation of the dossier for

term reappointment must include all relevant items required by the Senior Vice-President and Provost as well as those listed in Appendix I of this document. The protocols for teaching evaluation and, where appropriate, external review of research, are found in Appendix I.A.

8.4.2. The Chair in consultation with the candidate will appoint an ad hoc Committee consisting of two faculty members mutually acceptable to the Chair and the candidate, to facilitate discussion of the candidate's record and to acquaint the faculty with the issues involved. If two faculty members cannot be found who are mutually acceptable to the Chair and the candidate, the faculty shall elect two members. The Committee should be prepared to digest and summarize the candidate's material for presentation to the meeting at which the faculty votes, and to discuss the candidate's strengths and weaknesses in each of the term appointment criteria categories.

8.4.3. Preceding the vote, all available members of the faculty, with the exception of the candidate, will meet for a discussion of the candidate's accomplishments with respect to the assigned duties.

8.4.4. Formal consideration originates with the polling by secret ballot of the tenured members of the faculty including, when practical, the counting of in absentia ballots. Members of Committee "A" act as tellers. The vote count of the poll taken must be forwarded with the recommendations.

8.4.5. The Chair and Committee "A" will submit separate recommendations with supporting reasons in writing, and forward these with the faculty vote to the Dean. The right of written dissent of each member of Committee "A" is preserved.

8.4.6. The Chair will inform the candidate and the faculty of the recommendations made and their progress through the various stages of the review process as the Chair receives word of them.

9. Promotion and Tenure

The decision on tenure is the most important that faculty are called upon to make. Each person involved in the decision on tenure bears the responsibility for subjecting all aspects of the case to rigorous evaluation. Tenure and promotion in the Department of Chemistry are based upon research, teaching performance and service to the Department, the University, and the profession. In all three areas of judgment, greater weight will be placed on the quality of the activity than on the quantity. The evidence must be compelling that growth will continue after tenure, leading in the course of time to the rank of professor.

9.1. Criteria (Research Emphasis Faculty). For Research Emphasis Faculty the Department views research outcomes as the most important component for tenure and promotion. A solid foundation in scientific research is judged as indispensable to providing the needed quality of teaching and service through research and graduate education. Persons awarded tenure shall have contributed to the long-range goals and future development of the Department, and their area of research and teaching shall be appropriate to the future development of the Department.

9.1.1. Assistant Professorship (Research Emphasis Faculty). For appointment as an Assistant Professor the candidate must have demonstrated both high research potential and the promise of excellence in teaching.

9.1.2. Tenure (Research Emphasis Faculty). The following criteria apply:

9.1.2.1. The successful candidate shall have established a viable and impactful independent research program with solid promise for a successful career in

academic science. This should be supported by publications in high-quality refereed journals. Faculty being evaluated for tenure must have demonstrated their commitment to sustaining their research programs beyond the probationary period. A significant number of the publications should appear in first-rank journals appropriate to the field of study. Successful competition for major, non-starter research grants from external, national grantors is thus a critical criterion for tenure. Further support, although of lesser importance, may be adduced from the presentation of scientific lectures at conferences and other institutions or through the receipt of awards.

The department values collaborative research when the collaboration is meaningful and advances science. The candidate's role in such collaborations must be documented to enable proper credit to be assigned. The quality and impact of the research program must be critically evaluated, in writing, by external reviewers who are leaders in the area of research.

9.1.2.2. The successful candidate shall have shown a high level of engagement and instructional effectiveness supported, in part, by formal student and peer teaching evaluations as described in Appendix I.A. Normally, this instructional engagement shall have been demonstrated at different levels and sizes of courses. Peer evaluation of teaching by at least two faculty members is required for faculty members being considered for tenure. The effective mentorship and progress of undergraduates and graduate students whose research is being directed will be considered part of instructional engagement. The candidate should have demonstrated the ability to effectively mentor and develop the research potential of these students, as evidenced by the number of students who have completed a thesis or dissertation, or have demonstrated significant progress towards, their Ph. D. degrees.

Secondary criteria include:

9.1.2.3. Service to the Department in committee roles and other service functions.

9.1.2.4. Participation in activities related to professional service such as consultation to groups outside the University, editing and refereeing of professional publications, and on professional committees.

9.1.3. Associate Professorship (Research Emphasis Faculty). The criteria for promotion to Associate Professor are the same as those for the granting of tenure, as this promotion normally accompanies the granting of tenure. An Associate Professor is a member of the senior faculty and assumes responsibilities similar to those at the rank of Professor.

9.1.4. Full Professorship (Research Emphasis Faculty). Promotion to the rank of Professor is reserved for those who demonstrate consistent excellence of performance and has risen to national status in research and teaching. Promotion shall not be recommended as a reward for long time in rank or to ameliorate other problems. The following criteria apply:

9.1.4.1. The successful candidate must have achieved a solid and impactful scientific reputation. This can be documented by a sustained record of high-quality publications, receipt of awards, continued successful competition for external research grants, and unsolicited invitations to deliver lectures at conferences and colloquia at other institutions, since promotion to Associate Professor. The opinion of outside reviewers who are leaders in the area of

research must be sought.

9.1.4.2. The successful candidate must have established a reputation for high levels of instructional engagement and effectiveness among students and peers, supported by formal evaluation, have developed and presented new courses or curricula, and directed multiple doctoral dissertations to completion and demonstrated strong mentorship by guiding graduate students to their scholarly potential.

Secondary criteria include:

9.1.4.3. Superior performance in university service responsibilities. This can be demonstrated by selection for major tasks in the University and the Department, and by election to governing or advisory bodies by peer groups.

9.1.4.4. Prominence through professional activities in the discipline, which may include leadership positions in professional societies, service on professional committees, the organization and chairing of scientific conferences, consultantships to groups outside the University, editorial and refereeing positions for professional journals and as a reviewer of proposals to granting agencies and foundations, etc.

Advancement in rank is recognition for superior achievement rather than a routine reward for satisfactory performance. The indispensable requirement for full professorship as a Research Emphasis Faculty member is excellence in research and teaching in its broadest sense. Promotion should reflect a positive appraisal of high professional competence and accomplishment. Promotion should indicate that the faculty member is of comparable stature with others in the discipline in a comparable situation at peer institutions.

9.2. Criteria (Teaching Emphasis Faculty). For Teaching Emphasis Faculty, the department views excellence in undergraduate instruction as the most important component for tenure and promotion. The award of tenure to a Teaching Emphasis Faculty member signifies that the person has contributed to the long-range goals and future of the department through their contributions to the undergraduate program. Furthermore, their area of undergraduate teaching and research/creative activity shall be appropriate to the future development of the department.

9.2.1. Assistant Professorship (Teaching Emphasis Faculty). For appointment as an Assistant Professor (Teaching Emphasis), the candidate must have demonstrated instructional and research/creative activity training to the Ph.D. level in an area compatible with ongoing and strategically planned instructional programs in the department and have demonstrated promise for excellence in teaching.

9.2.2. Tenure (Teaching Emphasis Faculty). The following criteria apply:

9.2.2.1. The successful candidate shall have demonstrated excellence in undergraduate instructional engagement and effectiveness supported, in large part, by formal student and peer teaching evaluations, as described in Appendix I.A. of this document. When appropriate to her or his instructional program, the successful candidate should have demonstrated effective contributions to the instructional mission of the department in non-classroom settings, such as directed readings, research, or independent study.

9.2.2.2. The successful candidate shall have either established a viable chemistry-biochemistry disciplinary research program involving undergraduates

and/or developed a program of scholarly activity concerned with innovative teaching techniques and/or student learning (see Appendix IA). The impact of this research program should be supported by publications in refereed journals, publication of textbooks (print or electronic) or production of other innovative teaching tools, presentations at local, regional and national meetings and at other institutions, and, possibly, the award of external grants. When Teaching Emphasis Faculty members have elected to mentor chemistry-biochemistry disciplinary Masters degree students or Doctoral students in Chemical Education, effective mentorship must be demonstrated as evidenced by those students completing theses or dissertations or showing unambiguous satisfactory progress towards the completion of their Doctoral degree. The quality of the research/creative activity program must be evaluated in writing by respected external reviewers selected from leading faculty at peer research universities.

9.2.2.3. Where assigned, effectiveness in completing duties for curricular development in a disciplinary area or as Director of General Chemistry should be documented.

Additional criteria include:

9.2.2.4. Service to the department in committee roles and other service functions, such as spearheading efforts to submit proposals to external agencies for instructional equipment and upgrades of teaching laboratory facilities.

9.2.2.5. Participation in activities related to professional service such as consultation to groups outside the university, editing and refereeing of professional publications, and on professional committees.

The award of tenure should indicate that the faculty member is of comparable stature with others in the discipline at peer universities. Furthermore, there must be compelling evidence that professional growth will continue after tenure leading, in the course of time, to full professor status.

9.2.3. Associate Professorship (Teaching Emphasis Faculty). The criteria for promotion to Associate Professor are the same as those for the granting of tenure, and this promotion normally accompanies the granting of tenure. An Associate Professor is a member of the senior faculty and assumes responsibilities similar to those of a full Professor.

9.2.4. Full Professorship (Teaching Emphasis Faculty). Promotion of Teaching Emphasis Faculty to the rank of Professor is reserved for those who demonstrate excellence of performance and shall not be recommended as a reward for long time in rank or to ameliorate other problems.

The following criteria apply:

9.2.4.1. The successful candidate must have established evidence for excellent undergraduate instructional engagement and effectiveness among students and peers, supported by formal peer evaluation and supplemented by information described in Appendix I.A., When the Teaching Emphasis Faculty member directs a Chemical Education graduate program, evidence for engaged and effective instruction of graduate level courses in Chemical Education must be established.

9.2.4.2. The successful candidate must have established a solid reputation in the area of undergraduate research and/or for scholarly activities concerned with innovative teaching techniques and methods. This standing can be documented

by a sustained record of publication, receipt of awards, unsolicited invitations to present lectures at conferences and colloquia at other institutions, direction of honors theses and, possibly, the award of external grants, since promotion to Associate Professor. Where appropriate, the candidate should have demonstrated an ability to mentor graduate students to completion of chemistry-biochemistry disciplinary M.S. theses or Chemical Education Doctoral degrees. The written opinions of respected outside reviewers at peer research universities must be sought to place the impact of the Teaching Emphasis candidate into national context.

9.2.4.3. The successful candidate will have demonstrated leadership in implementing necessary upgrades to assigned undergraduate lecture and laboratory courses and curricula or in duties as the Director of General Chemistry.

Additional criteria of lesser importance are:

9.2.4.4. Superior performance in university service responsibilities. This effort can be demonstrated by selection for major tasks in the university and the department, and by election to governing or advisory bodies by peer groups.

9.2.4.5. Prominence through professional activities in the discipline, which may include leadership positions in professional societies, service on professional committees, the organization and chairing of scientific conferences, consultantships to groups outside the university, editorial and refereeing positions for professional journals and as a reviewer of proposals to granting agencies and foundations, etc.

Advancement in rank is recognition for achievement rather than a routine reward for satisfactory performance. The indispensable requirement for full professorship is excellence in teaching and research/scholarly activity in chemistry/biochemistry education. Promotion should reflect a positive appraisal of high professional competence and accomplishment. Promotion should indicate that the faculty member is of comparable stature with others in the discipline in a comparable situation at peer institutions.

9.3. Criteria (Ranked Renewable Term Faculty). Ranked Renewable Term Faculty are eligible for promotion to Associate and Full Professor. Each person involved in the decision on promotion bears the responsibility for subjecting all aspects of the case to rigorous evaluation. For Ranked Renewable Term Faculty the Department views teaching and service as the most important components for promotion.

9.3.1. Assistant Professorship (Ranked, Renewable Term Faculty). For appointment as an Assistant Professor (Ranked, Renewable Term), the candidate must have demonstrated instructional and research training to the Ph.D. level in an area compatible with ongoing and strategically planned instructional and service programs in the department and have demonstrated promise for excellence in teaching.

9.3.2. Promotion to Associate Professor (Ranked, Renewable Term Faculty). The following criteria apply:

9.3.2.1. The successful candidate shall have demonstrated sustained excellence in undergraduate instructional engagement and effectiveness supported by formal student and peer teaching evaluations, as described in Appendix I.A. of this document. When appropriate to her or his instructional program, the

successful candidate should have demonstrated effective contributions to the instructional mission of the department in non-classroom settings, such as directed readings, research, or independent study.

9.3.2.2. As assigned in the candidate's hiring documentation, sustained effectiveness in completing duties for instructional program support should be documented. These duties may be coordinating activities for large enrollment courses or instructional research programs. Evidence for effectiveness may be demonstrated through recognition awards or grant support awards for these activities.

Additional criteria of lesser importance in the promotion decision include:

9.3.2.3. Service to the department in committee roles and other service functions.

9.3.2.4. Participation in activities related to professional service such as consultation to groups outside the university, editing and refereeing of professional publications, and on professional committees.

9.3.3. Full Professorship (Ranked, Renewable Term Faculty). Promotion of Ranked, Renewable Term Faculty to the rank of Professor is reserved for those who demonstrate sustained exceptional performance and shall not be recommended as a reward for long time in rank or to ameliorate other problems.

The following criteria apply:

9.3.3.1. The successful candidate must have established evidence for exceptional undergraduate instructional engagement and effectiveness among students and peers, supported by formal peer evaluation and supplemented by information described in Appendix I.A. When appropriate to her or his instructional program, the successful candidate should have demonstrated exceptional contributions to the instructional mission of the department in non-classroom settings, such as directed readings, research, or independent study.

9.3.3.2. Sustained exceptional contributions in completing duties for instructional program support as assigned in the hiring documentation, should be documented. These duties may be coordinating activities for large enrollment courses or instructional research programs. Evidence for effectiveness should be demonstrated through recognition awards or grant support awards for these activities as indications of national prominence.

Additional criteria of lesser importance in the promotion decision include:

9.3.3.3. Excellent service to the department in committee roles and other service functions.

9.3.3.4. Participation in activities related to professional service such as consultation to groups outside the university, editing and refereeing of professional publications, and on professional committees.

Advancement in rank is recognition for achievement rather than a routine reward for satisfactory performance. The indispensable requirement for full professorship as a Ranked, Renewable Term faculty member is excellence in teaching and service activities related to chemistry/biochemistry education. Promotion should reflect a positive appraisal of high professional competence and accomplishment. Promotion should indicate that the faculty member is of comparable stature with others in the discipline in a comparable situation at peer institutions.

9.4. Procedures

9.4.1. Tenure and Promotion to Associate Professor (Tenure Track)

9.4.1.1. The Chair will publicize the applicable University and Departmental criteria.

9.4.1.2. A faculty member at the Assistant Professor level will normally be considered for tenure at the beginning of the sixth year of service allowing a maximum of three years prior full-time service elsewhere. The length of the mandatory probationary period is specified in the letter of appointment from the Provost, and reference should be made to the conditions set forth in writing there. A new, un-tenured faculty member appointed initially at a rank above that of Assistant Professor will be considered for tenure as set out in the Faculty Handbook, Section 3.7.3.(e).

9.4.1.3. Committee A will confer with every tenure-track faculty member annually to review the expectations in each tenure criterion category and to communicate an evaluation of the candidate's performance. The Chair and Committee A will also provide the faculty member a written evaluation of progress towards tenure prior to the applicable notification deadline for reappointment (see 7.3.1). A copy of the Progress Towards Tenure Letter will be sent to the College Dean, and another copy will be placed in the member's personnel file.

9.4.1.4. Normally the Chair, after consultation with the candidate, will initiate consideration for tenure. Alternatively the candidate can initiate the process early by written request to the Chair and Committee A, and shall receive a written response indicating if consideration has been initiated. The Chair and Committee A determine whether such consideration will be initiated and the Chair notifies the candidate who is to be considered. If early tenure consideration is initiated, the Dean shall also be notified. The tenured faculty shall take a preliminary vote on whether to proceed with a consideration of early tenure based upon available information including an updated vita. The motion to do so must receive a majority vote of the tenured faculty before the formal steps (Section IX.C.1. e to l) for consideration of an early tenure process are initiated. In the case of early consideration, if the candidate fails to receive a majority vote of the tenured faculty during the formal consideration to proceed or not to proceed with the early tenure process, no recommendation will be forwarded. Also the candidate retains the right to terminate proceedings without prejudice prior to the date that the final departmental recommendation on tenure is forwarded to the Dean.

9.4.1.5. The Chair in consultation with the candidate will appoint an *ad hoc* Committee consisting of three faculty members mutually acceptable to the Chair and the candidate, to facilitate discussion of the candidate's record and to acquaint the faculty with the issues involved. If three faculty members cannot be found who are mutually acceptable to the Chair and the candidate, the faculty shall elect three members. The Committee should be prepared to digest and summarize the candidate's material for presentation to the meeting at which the faculty votes, and to discuss the candidate's strengths and weaknesses in the tenure criteria categories.

9.4.1.6. At the time of the initiation of tenure consideration the Chair shall request that the candidate submit materials that will be helpful in the evaluation. The materials should describe the candidate's goals and accomplishments in relation

to the criteria used to determine the tenure recommendation. The candidate should consult with the Chair and other colleagues concerning what to include. However, the responsibility for the contents resides wholly with the candidate. The tenure dossier must include research or creative activity items required by the Provost as well as those listed in Appendix I. Copies of manuscripts of research papers and those accepted for publication should be included in the materials sent to reviewers.

9.4.1.7. External Reviewers. Candidates for promotion and tenure will be accorded the opportunity to submit an annotated list of up to eight names of outside reviewers of their case for consideration by the Chair and Committee A. Candidates may not contact the potential referees about this process. Candidates should justify why the potential reviewers would be suitable and describe any prior interactions between the candidate and the reviewer. The Chair should consult with Committee A and senior members of the candidate's disciplinary area before generating an additional list of at least eight reviewers on a departmental list. Potential reviewers listed by both the department and candidate will be recorded as a candidate choice. A prioritized and combined list of potential reviewers, their qualifications, indications of any prior interactions with the candidate and whether the reviewer was selected by the candidate or the department, will be forwarded to CAS Dean's office for approval. Once the list is approved, the Chair will contact the first five names on each list to ask for their availability to provide a review by an established deadline. If a reviewer suggested by the candidate is unavailable, the next name on the candidate's list will be contacted. Similarly, sequential names from the department list are contacted until at least four reviewers from each list agree to provide a review. Each reviewer who agrees to provide a letter should receive a copy of the candidate's dossier as compiled by the candidate. A record of materials sent to reviewers must be kept. If a reviewer does not provide their letter by the deadline in spite of reminders, additional reviewers may be contacted in the listed order. The expectation is that at least three letters from the candidate's list and at least an equal number of letters from the departmental list will be collected. No letter may be suppressed by the Department. Letters solicited from reviewers shall be made available by the Chair to faculty members eligible to vote in the tenure decision.

9.4.1.8. The Chair will make the dossier including external letters available to the tenured members of the Department at least two weeks before the case is discussed. A record of when the dossier is sealed for release to the tenured faculty will be made. No changes to the dossier are allowed after release to the faculty and prior to the departmental vote unless authorized under protocols provided specifically for a particular situation by the Dean and Provost. Should additional pertinent information arise during review, a labeled appendix will be added after the department voting is complete and prior to forwarding the dossier to the Dean's level. In particular, a late letter would not be released prior to the vote, but would be included in the material sent forward to the Dean with appropriate annotation as to when it was added to the dossier. This protocol insures that all eligible faculty members will evaluate the same level of material.

9.4.1.9. Preceding the vote, all available members of the faculty, with the exception of the candidate, will meet for a discussion of the candidate's qualifications. A second faculty meeting will be convened for additional discussion, and the tenured faculty will vote on the tenure decision then. In either

meeting, each faculty member may raise questions directly during the discussion, or may submit questions to the Chair or Committee A in advance.

9.4.1.10. Formal consideration originates with the polling by secret ballot of the tenured members of the faculty including, when practical, the counting of *in absentia* ballots. Members of Committee A act as tellers. The vote count of the poll taken must be forwarded with the recommendations.

9.4.1.11. The Chair and Committee A will submit separate recommendations with supporting reasons in writing, and forward these with the faculty vote to the Dean. The right of written dissent of each member of Committee A is preserved. The letter from Committee A should reflect the discussion of the faculty and include a summary of any information brought forward during discussion that was not clearly part of the dossier.

9.4.1.12. The Chair will inform the candidate and the faculty of the recommendations made and their progress through the various stages of the review process as the Chair receives word of them.

9.4.2. Promotion to Full Professor (Tenure-Track)

9.4.2.1. The Chair will publicize the applicable University and departmental criteria.

9.4.2.2. Normally, the Chair, after consultation with Committee A and the candidate, will initiate consideration for promotion. Alternatively, the process can be initiated by the candidate. Such a request to the Chair and Committee A may be made in writing at any time. In the case of self-nomination, consideration for promotion is mandatory; the Chair must notify the Dean, and the complete procedure as described in the rest of this section must be followed.

9.4.2.3. The Chair in consultation with the candidate will appoint an ad hoc Committee consisting of two Full Professors mutually acceptable to the Chair and the candidate, to facilitate discussion of the candidate's record and to acquaint the faculty with the issues involved. The Committee should be prepared to digest and summarize the candidate's material for presentation to the meeting of tenured Professors, and to discuss the candidate's strengths and weaknesses in the promotion criteria categories. Only tenured Professors are eligible for voting to recommend the promotion of a colleague to the rank of Professor.

9.4.2.4. At the time of notification the Chair shall request the candidate to submit materials that will be helpful in the evaluation. The materials should describe the candidate's abilities and accomplishments in relation to the criteria used to determine the promotion recommendation. The candidate should consult with the Chair and other colleagues concerning what to include. The responsibility for the contents resides wholly with the candidate. However, the promotion dossier must include research/creative activity items required by the Provost as well as those listed in Appendix I.

9.4.2.5. External Reviewers.. The procedures to be followed mirror those described in Section 9.4.1.7.

9.4.2.6. The Chair and Committee A, in consultation with the candidate, can terminate the promotion procedure at any time before the formal vote is taken. However, the promotion procedure cannot be terminated without the explicit

written consent of the candidate.

9.4.2.7. The Chair will make the Promotion dossier including external letters available to the eligible voting faculty at least one week before the formal vote.

9.4.2.8. Preceding the vote, all tenured Professors should meet for a discussion of the candidate's dossier. If it is necessary, a second meeting will be convened for additional discussion, and the tenured Professors will vote on the promotion decision then. In either meeting, each faculty member may raise questions directly during the discussion, or may submit questions to the Chair or Committee A in advance.

9.4.2.9. Formal consideration originates with the polling by secret ballot of the tenured Professors including, when practical, the counting of *in absentia* ballots. Members of Committee A act as tellers.

9.4.2.10. The Chair and members of Committee A will provide their recommendations to the Dean, with reasons as required by the Faculty Handbook. These recommendations will be accompanied by the results of the formal vote.

9.4.2.11. The Chair will inform the candidate and the faculty of the recommendations made and their progress through the various stages of the review process in a timely way.

9.4.3. Promotion of Ranked, Renewable Term Faculty. The procedures will generally follow those used in Section 9.4.2 for Promotion to Professor with the following modifications/clarifications:

9.4.3.1. For promotion to Associate Professor, an ad hoc committee of two faculty at the rank of Associate Professor or Professor will be appointed. For promotion to Professor, an ad hoc committee of two tenured faculty with the rank of Professor will be appointed.

9.4.3.2. The candidate should suggest up to five external reviewers. The materials sent to external reviewers should emphasize, as appropriate, teaching and service contributions. The expectation is that at least two letters from the candidate's list and at least an equal number of reviews from the departmental list will be received.

9.4.3.3. Materials for faculty review must be available for 15 days prior to faculty discussion and voting. Discussion and voting may take place during the same meeting unless a second meeting is necessary for additional discussion prior to voting.

9.5 Post Tenure Review

The Faculty Handbook (section 3.7.6(c)) describes the information needed from faculty members for their post tenure review: "This self-appraisal should include an evaluation of his or her past performance in the areas of teaching, research, and creative/scholarly activity and professional and University service and public outreach; a statement of professional goals for the next five years; and an explicit discussion of how achieving those goals will advance his or her professional career and contribute to achieving the goals of the unit(s) to which he or she is appointed and the University as a whole. This document is not intended to be a contract but only a source of information to the Post-tenure Review Committee to assist it in helping the faculty member to develop professionally."

Typically, the College has provided a template form to organize these sections. The information entered on the College form is sufficient for the Departmental review, particularly if the plan for the next five years is prepared as accurately as possible. From the Departmental perspective, clear information about future directions for research, teaching and service activities will assist in departmental research and instructional planning.

9.5.1 Procedures. Faculty members who are due for a Post Tenure Review will be notified by the College by formal memo in the Fall semester and provided with current instructions. The Departmental level evaluation of the candidate includes a formal meeting with the faculty member and Committee A. This meeting typically occurs in early April. The faculty material and result of the Departmental evaluation are forwarded to the College Dean

10. Evaluation of the Chair

The Chair will be evaluated annually by the departmental faculty. Committee A (excluding the Chair) shall prepare an annual evaluation of the chair's teaching, research/creativity, and service (professional and departmental administration) using the standard process and forms for annual faculty evaluations. This evaluation will be forwarded to the dean. For evaluating the administrative effectiveness of the Chair, Committee A should solicit formal input from the entire faculty and staff of the unit. The results of this evaluation will be forwarded to the Dean, and will also be communicated to the faculty and the Chair.

10.1. Criteria

10.1.1. Provide leadership in the definition and realization of departmental goals;

10.1.2. Create and/or maintain an effective organizational structure.

10.1.3. Promote the professional career development of the faculty;

10.1.4. Maintain effective contact and good relations with faculty, staff, students, alumni, and other professional constituencies;

10.1.5. Apply rigorous and consistent standards for reappointment, promotion, tenure and salary advancement;

10.1.6. Maintain a position of professional stature in chemistry and biochemistry;

10.1.7. Work to improve the undergraduate and graduate teaching program, professional training at the graduate level and the quality of research in the Department;

10.1.8. Aggressively seek external and internal funds for departmental activities;

10.1.9. Champion the causes of the Department to the Dean, and other administrative officers of the University and represent the Department effectively within the University and outside;

10.1.10. Keep the faculty informed of any changes in the administrative policies and procedures of the Department, and keep the faculty informed about budgetary and personnel matters and decisions.

10.2. Procedure. Approximately 12 months before the end of the chair's four-year term, elected members of Committee A shall initiate the proceedings to obtain a formal recommendation from the faculty concerning the reappointment of the chair and transmit it to the Dean. If the Dean does not concur with the department faculty's recommendation, the Dean will meet with the departmental faculty to discuss reasons for disagreement. However, the final decision for reappointment shall be made by the Dean..

11. Internal Procedures and Governance

11.1 Committees, Coordinators and Liaisons. Unless indicated, committee assignments are made by the Department Chair by the start of each academic year.

11.1.1. Undergraduate Program Liaison: Responsible for developing and preparing undergraduate program assessments.

11.1.2. Graduate Program Liaison: Responsible for interactions with Graduate College, providing needed graduate program authorizations, developing and preparing graduate program assessments.

11.1.3 Research Liaison: Responsible for representing research interests of the Department on the VPR committee of research liaisons and communicating VPR information to the Department.

11.1.4 Library Liason: Coordinates departmental input and recommendations regarding acquisitions of books, journals, and other library materials by the University Library system. Coordinates interactions between the library and department.

11.1.5 Committee A: Consists of two elected members of the tenured and tenure-track faculty who serve two-year staggered terms, with the Chair being a permanent member. Committee A prepares and transmits to the chair formal recommendations on several departmental issues.

11.1.6 Graduate Committee: Provides oversight of the graduate program and makes recommendations for student placements and awards.

11.1.7 Undergraduate Committee: Provides oversight of the undergraduate program and makes recommendations for student awards.

11.1.8 Graduate Student Recruiting and Admissions Committee: Responsible for the recruitment and selection of the incoming class of graduate students and their admission. Additional responsibilities include refining our graduate recruiting materials and strategies

11.1.9 Safety Committee: Monitors and coordinates departmental compliance with safety protocols, assesses and updates departmental safety protocols for the SLSRC and PHSc/CHBA/CHB buildings, and helps faculty to generate written Standard Operating Procedures

11.1.10 Research Support Services (RSS) Committee: Each RSS unit should have a faculty member as head of a users group and to serve on this committee. Coordinates User Group input regarding the management of each of the various facilities of the RSS.

11.1.11 Seminar Committee: Solicits nominations for Karcher-Barton speakers, and makes selection recommendation to the Chair. Coordinates departmental and divisional seminars, makes recommendations for departmental funding for outside speakers.

11.1.12 Strategic Planning Committee: This committee will be formed as needed to provide input and guidance regarding long-term directions for the Department.

11.1.13 Faculty Advisor for Chemistry-Biochemistry-Researchers (CBR): Responsible for advising the CBR group, providing financial regulatory oversight and advocating for their needs with the Chair or Department,

11.2 Faculty Meetings. Regular Departmental Faculty meetings are held during the

academic year at least once a month or as needed on Tuesdays at 3:30 pm. An announcement and preliminary agenda should be provided by the prior Friday and a final agenda posted on the Monday prior to the meeting. The Department Chair shall preside and the most recently hired Assistant Professors will take minutes for departmental records. Consideration of voting items requires a quorum of faculty (over 50% of faculty who are not on leave or extended travel, including proxy votes for published agenda action items).

11.3. Disciplinary Subgroups. Departmental organization does not include formal disciplinary faculty groups. For the purposes of planning disciplinary graduate course instruction or for recommending disciplinary faculty hires, disciplinary faculty groups are encouraged to meet as needed and send consensus recommendations to the Chair and Assistant Chair. Faculty members will self-identify with one or more disciplinary areas. Research Centers or Institutes housed in the Department may develop their own protocols which should be shared with the Department Chair.

APPENDIX I. INFORMATION NEEDED FOR ANNUAL EVALUATION

All of these materials will be submitted electronically in accordance with instructions distributed in the annual call from the Chair for annual evaluation materials.

1. The Provost's Annual Mini-Vitae Report Form generated using the Faculty Activity System (FAS).
2. A full, current CV.
3. Report of annual activities organized according to this template, including PDF copies of publications or other supporting materials.

RESEARCH

Provide a contextual narrative for your research to inform Committee A about your research emphases and longer term projects that may not have resulted in our usual metrics.

1. **Refereed Journal Original Research Papers with final publication date in the previous calendar year:** authors, with senior author(s) in **bold type**, title, journal, volume, pages, year, institution(s) where work was carried out. A pdf copy of each paper should be provided.
2. **Refereed Review Articles or Refereed Book Chapters with final publication date in the previous calendar year:** authors, with senior author(s) in **bold type**, title, journal, volume, pages, year, institution(s) where work was carried out. A pdf copy of each paper should be provided.
- 3a. **Non-Refereed Research Papers, Review Articles, Book Chapters, or Other Letters, Interviews or Commentaries, with final publication date in the previous calendar year:** authors, with senior author(s) in **bold type**, title, journal, book or other appropriate citation, institution(s) where work was carried out. A pdf copy or URL link for each piece of work should be provided.
- 3b. **Patents with final issuance date in the previous calendar year:** Patents issued (not just filed) with authors, with senior author(s) in **bold type**, title, appropriate citation, institution(s) where work was carried out. A pdf copy or URL link for each piece of work should be provided.
- 4a. **Refereed Journal Original Research Manuscripts fully accepted or in press, but without a final publication date in the previous calendar year:** authors, with senior author(s) in **bold type**, title, journal, institution(s) where work was carried out.
- 4b. **Patents filed in the previous calendar year:** Patent applications/provisional patents filed with authors, with senior author(s) in **bold type**, title, appropriate citation, institution(s) where work was carried out. A pdf copy or URL link for each piece of work should be provided.
5. **Refereed Journal Original Research Manuscripts returned for revision in the previous calendar year:** authors, with senior author(s) in **bold type**, title, journal, institution(s) where work was carried out. Describe current status of the work.
- 6a. **Research or Review Manuscripts (excluding those listed in preceding sections) Submitted to Refereed Journal for Publication in the previous calendar year:** authors, with senior author(s) in **bold type**, title, journal, institution(s) where work was carried out. Describe status of the submissions.
- 6b. **Intellectual Property filed in the previous calendar year:** Intellectual property disclosure filed with the University with authors, with senior author(s) in **bold type**, title,

appropriate citation, institution(s) where work was carried out.

7a. Invited Papers presented at international, national or regional meetings during the previous calendar year: authors, with senior author in **bold type** and speaker asterisked*, title, name of meeting, date, and location. Indicate whether the speaker, if not a senior author, was an Undergraduate (UG), a Graduate Student (GS), Postdoctoral (PD), or Research Professor (RP). (Regional ACS meetings, e.g., listed here)

7b. Invited Papers presented at local or campus meetings during the previous calendar year: authors, with senior author in **bold type** and speaker asterisked*, title, name of meeting, date, and location. Indicate whether the speaker, if not a senior author, was an Undergraduate (UG), a Graduate Student (GS), Postdoctoral (PD), or Research Professor (RP). (OK Pentasectional, OKC, Norman meetings listed here).

8a. Contributed Papers or Posters presented at international, national or regional meetings during the previous calendar year: authors, with senior author in **bold type** and speaker asterisked*, title, oral or poster presentation, name of meeting, date, and location. Indicate whether the speaker, if not a senior author, was an Undergraduate (UG), a Graduate Student (GS), Postdoctoral (PD), or Research Professor (RP). (Regional ACS meetings, e.g., listed here)

8b. Contributed Papers or Posters presented at local or campus meetings during the previous calendar year: authors, with senior author in **bold type** and speaker asterisked*, title, oral or poster presentation, name of meeting, date, and location. Indicate whether the speaker, if not a senior author, was an Undergraduate (UG), a Graduate Student (GS), Postdoctoral (PD), or Research Professor (RP). (OK Pentasectional, OKC, Norman meetings listed here).

9a. Invited Research Colloquia at other US institutions during the previous calendar year: institution, place, date, title.

9b. Invited Research Colloquia at international institutions during the previous calendar year: institution, place, date, title.

10. Leadership roles at meetings during the previous calendar year: chairmanships, discussion leader, organizer, session organizer. Describe your role.

11. Research Meetings and Workshops attended during the previous calendar year: name of meeting, place, date, title.

12. A. Journals for which you have refereed in the previous calendar year: list names of journals and number of manuscripts reviewed for each. If applicable, describe journal editor roles.

12.B. Proposals you have refereed in the previous calendar year: list agencies and number of proposals reviewed for each. Describe panel review activities.

13. Research Support from External Agencies during the previous calendar year:
Current Research Support: Principal investigator, co-principal investigator(s), grantor, title, starting and termination dates, current total fiscal year award amount, total award amount.

14. Research Support from Internal Sources during the previous calendar year:
Current Research Support: Principal investigator, co-principal investigator(s), source, title, starting and termination dates, amount of award.

15. Research Proposals Submitted in the previous calendar year: Principal investigator, co-principal investigator(s), grantor, title, requested starting date, duration, amount, and status.

16. Members of your research group during the previous calendar year (List each by name and dates in research group):

- i. Graduate students. List degree program
- ii. Undergraduate students.
- iii. Postdoctorals or Research Professors.
- iv. Visiting faculty
- v. Technicians.

17. Students who completed their Senior Thesis, M.S. (Thesis Option) or Ph.D. during the previous calendar year:

Name, degree, title of thesis or dissertation. Please also give current/planned employer or position of these students.

TEACHING

Provide a contextual narrative for your engagement and goals in teaching.

1. Courses taught in-line during the previous calendar year, by semester, catalog number, credit hours, title, number of students, and date range of modular instruction. Identify each course as a newly developed course, a course developed by others but taught for the first time by you, a repeated course by you or and updated course by you. List the number of scheduled class meeting missed by the instructor and how each of those absences was covered. Include seminar instruction, directed readings, independent studies and dissertation supervision with number of students for each.

2. Courses taught as overload during the previous calendar year, by semester, catalog number, credit hours, title, number of students, and date range of modular instruction. List the number of scheduled class meeting missed by the instructor and how each of those absences was covered.

3. Non-course instructional programs organized/taught during the previous calendar year by date range, program title, number of participants and description of program.

4. Guest lectures provided for courses or programs during the previous calendar year, by dates, program name or catalog number and course name, and name of organizer or instructor of record .

5. Newly developed courses and curricula or newly developed teaching techniques. Include a description of preparations and a time estimate for development. This section should be highlight courses that were developed from scratch (i.e., not just your first time teaching it with other faculty member's notes/framework).

6. Description of course modality. Committee A has access to course syllabi. Additionally, for each course listed in items 1 and 2, you may describe the structure of the learning environment and your engagement to assist students achieve the learning outcomes. For seminar direction describe your role.

7. Participation in activities (workshops, conferences, etc.) related to pedagogical improvement. List names of meetings, places, dates.

8. Evaluation of teaching (by course). Committee A has access to numerical Arts & Sciences evaluation scores and student comments for each course. Other information relating to teaching evaluation can include classroom visitation/peer evaluation reports performed in accord with the Protocol in Appendix I.A. This section may be used to place student comments into context in a self-evaluation report.

9. Advisee Mentoring:

- A. List Undergraduates under your research direction and dates of their participation.
- B. List Graduate Rotation Students and dates of their participation.
- C. List Graduate students under your research direction (as head of advisory committee), dates of their participation and dates of any program milestones such as general exam, occurring during the year. Describe circumstances of any graduate students leaving program prior to completing a doctoral degree.
- D. List other student advisory committees (also listed in Service).
- E. List any other significant advisee mentoring time, effort, number of advisees, type and role.

10. Mentoring Activities. Describe your direct mentoring engagement with research students such as in group meetings, individual weekly meetings, monthly research reports, seminar preparations, etc.

SERVICE

Provide a contextual narrative of your service activities and goals.

1. Service and leadership roles during the previous calendar year:

A. Departmental Activities and Committees. Categories may include:

Committees: List leadership role or membership activities and term of service.

Graduate student advisory committees: List by name and formal activities you attended (eg, advisory committee meeting, disciplinary seminar, general exam, final defense).

Hosting seminar speakers: List speaker and date

Participation in Departmental and Disciplinary Seminars, Faculty and Disciplinary Meetings

Participation in Recruiting seminars and receptions, research poster sessions

Participation in Graduation or other ceremonies

Committees: List leadership role or membership activities and term of service

B. College of Arts and Sciences

List participation in College activities

Committees: List leadership role or membership activities

C. University

List participation in University activities

Committees: List leadership role or membership activities

2. Offices held and leadership roles in professional societies

3. Honors awarded in the previous calendar year:

1. Research
2. Teaching
3. Service

APPENDIX I. A. Teaching Evaluation Protocols

Evaluation of teaching by the Chair and Committee A will be based upon the examination of, *inter alia*, numerical data from student evaluations, copies of class handouts, syllabi and examinations. In addition, Committee A will have access to course syllabi and the written comments of students in courses; they may consider those in their evaluations. Faculty members are requested to provide information on new course preparations and other evidence for instructional engagement. Information related to teaching can also be derived from a departmental seminar, and a presentation should be scheduled late in the probationary period for tenure-track faculty members.

Peer evaluation of teaching by at least two faculty members is required for faculty being considered for tenure. A major component of peer evaluation will consist of visits to observe classroom performance. The visits should be pre-arranged, be accompanied by a discussion with the instructor so that information concerning the nature of the course, the student clientele and the educational goals can be communicated. The visits shall result in a written evaluation which shall be given to the Chair. The evaluation will be included as part of the confidential materials included in the candidate's tenure dossier and, as such, will be available only to eligible members of the faculty within the department.

Any faculty member may request a peer evaluation of teaching, at any time, to support annual evaluations, nominations for awards, a recommendation for salary advancement or promotion to the rank of Professor.

The scope and details of any peer evaluation of teaching effectiveness will be decided by the faculty member in consultation with the Chair and Committee A.

APPENDIX II. INFORMATION NEEDED FOR ANNUAL PROGRESS TOWARDS TENURE EVALUATION

Norman campus policy requires that tenure-track faculty members be provided with a written evaluation the faculty member's cumulative performance in the areas of teaching, research and creative activity during each year in which they are in probationary status. The purpose of the review is to provide feedback to faculty members on the extent to which they are meeting the unit's expectations for earning tenure.

The College of Arts and Sciences requires that the progress toward tenure letter for all tenure-track faculty members in their third year represent a comprehensive review of their progress toward tenure. The review should result in a thorough evaluation by Committee A of the faculty member's cumulative teaching, research/creative activity and service, including a summary of the previous annual evaluations and reports on any classroom visits made by members of the faculty for the purpose of evaluating teaching.

As part of the annual progress towards tenure evaluations and third-year review, the faculty member should prepare and submit the following items:

1. A current curriculum vitae,
2. Electronic copies of research/creative activities completed to date during the probationary period.
3. A self-assessment of prior research and teaching activities in the context of long-range research and teaching plans. As appropriate, specific information on research should be provided regarding: a) establishing the research lab and building a research team; b) the nature and benefits of any research collaborations; c) presentations at conferences or invited talks; d) publications with contributions clearly defined, particularly for publications based on work at prior institutions or through collaborative work; e) internal and external grant funding activities with contributions clearly defined in collaborative projects. Specific information regarding engagement in teaching should be provided.

Committee A will also have access to the following materials on record:

4. Annual Evaluations and prior Progress Towards Tenure Letters
5. Instructional evaluation materials (numerical student evaluation of teaching and student comments)

Committee A may also access additional information:

6. Letter(s) of peer teaching evaluation
7. Particularly when Committee A requires more detailed insight into research activities, other senior faculty may be asked to provide written comments.


The PTT review letter will indicate what information was used in its generation.



The UNIVERSITY of OKLAHOMA
College of Arts and Sciences



TO: Ron Halterman, Chair
Department of Chemistry and Biochemistry

FROM: Kelvin White, Associate Dean 

DATE: December 6, 2017

RE: Revised Faculty Personnel Policy for Chemistry and Biochemistry

The Provost has reviewed and approved Chemistry and Biochemistry's revised faculty personnel policy on December 5, 2017.

Development of these policies is an arduous but important task. Both the Provost and College extend thanks to everyone in the department who contributed to the process.

KLW/sb

Attachment

pc: file