

PROCEDURE FOR ANNUAL EVALUATION AND PROGRESS TOWARD TENURE OF FACULTY MEMBERS

Mewbourne School of Petroleum and Geological Engineering University of Oklahoma

I. PURPOSE

The purpose of this document is to define the process of annual evaluation that supports decisions in merit salary increases, promotion, tenure, and post-tenure review.

II. POLICIES RELATED TO EVALUATION PROCEDURE

The Mewbourne School of Petroleum and Geological Engineering seeks to support faculty members in achieving regional, national, and international stature in one or more of the three areas of teaching, research and creative activity, and service. Each faculty member has the opportunity to allocate effort over time among these three areas subject to the approval of Committee A. The following policies guide the faculty member, the Director, and Committee A in allocation efforts among the three areas.

1. TEACHING

Teaching is an important mission of the University, and evidence of effective teaching is, therefore, one of the requirements for a favorable tenure recommendation. Teaching is construed to mean formal undergraduate and graduate instruction, the less-formal seminar, laboratory or field course instruction, and the highly individualized instruction that occurs through the interaction between faculty member and student in research. Participation in undergraduate and graduate teaching and in research supervision is normally expected. Assessment of classroom teaching is to be made against School standards and primarily through evaluation by peers and students.

The faculty member will normally teach three courses (nine hours) per academic year. In assigning the teaching load, the Director and Committee A will consider course characteristics, such as enrollment, level (core, undergraduate, graduate), labs and number of sections. However, the School will seek to reduce the teaching load of junior faculty to below the norm in order to allow sufficient time to develop their research and creative activities. It is recognized that for the same teaching load, a new junior faculty member will require a greater effort in teaching compared to a senior faculty member. The remainder of a faculty member's effort will be spent in research and creative, and service activities. Faculty members who have not published, or whose research and creative activities are not externally funded may be asked to devote a larger portion of their effort to teaching. Faculty members who provide salary release of 1/9 FTE during an academic year may be assigned a reduced teaching load of less than nine semester credit hours, contingent upon fulfillment of School teaching commitments.

2. RESEARCH AND CREATIVE ACTIVITY

Each review and evaluation should include a critical assessment of the quality, quantity, and significance of the individual's research and creative activity. This assessment may consider: (1) the individual's record and effectiveness in the supervision of graduate student research; (2) the individual's record of archival publication and presentation of research results in seminars and conferences; (3) the individual's performance and effectiveness in seeking and obtaining external support for research activity and facilities;

and (4) the individual's contribution to technology transfer and industrial development. The assessment should address directly the questions of whether this total research and creative activity has earned or is earning the individual significant regional/national/international recognition and/or contributing significantly to technology development. Candidates for tenure and promotion should meet or exceed national norms and demonstrate potential to compare favorably with colleagues at leading PE programs. A faculty member's area of emphasis may differ from year to year, but should be consistent with the College and School goals. As teaching load decreases, the expectations for publication and external funding increase. Publications may substitute for external funding and vice versa. A faculty member with a heavier service commitment will have correspondingly lower expectations for productivity in research and creative activities. A faculty member needs time to build up a program of research and creative activity that produces external funding, publication, and other evidence of research and creative activity. Therefore, tenure-track faculty in the early years of their probationary period and tenured faculty pursuing substantially new directions of research and creative activity are evaluated, in part, based on their efforts, progress, and interim work products (such as conference proceedings, patent applications, and the like). Other creative activities (e.g., mentoring of students, presentations at professional meetings, and technology transfer) are recognized as valuable to the individual and the University of Oklahoma in building regional or national reputation.

3.) SERVICE

The proportion of faculty member's time that is devoted to service activity (University and professional service) should normally be in the range of ten to fifteen percent, with an upper limit of twenty-five percent. Ten percent is considered to be nominal level expected of all faculty members. Full professors and tenured faculty members are expected to devote a higher percentage of their time to service activities than junior faculty.

It is recognized that under the policies of the University of Oklahoma, faculty members are given the opportunity to engage in consulting activities. It is expected that all faculty member will scrupulously follow the stated University procedures governing such activities.

Each faculty member is required to provide the necessary information to permit an adequate evaluation of annual activity. Committee A and the Director are committed to the effort required to carefully evaluate the information that is supplied.

The Mewbourne School of Petroleum and Geological Engineering recognizes that its evaluation procedures must be compatible with those of the Mewbourne College of Earth and Energy and the University with regard to merit raises, promotion, tenure and post-tenure review.

III. EVALUATION CRITERIA

A. TEACHING

Following are the areas that may be considered in the evaluation of teaching effectiveness of each faculty member:

1. Course Evaluations by students. For each course taught during the calendar year, average ratings will be computed for key questions (as a minimum, questions 17, 18, 19). Certain other questions may also be considered, depending upon the nature of the course

(e.g., laboratory component). Committee A will evaluate these ratings in relation to School and College norms.

2. Course and educational materials development efforts. Innovative curriculum development of new teaching materials for existing courses (e.g., book chapters and other publications of a tutorial nature, case studies, laboratory experiments, computer exercises, projects, class notes), adoption of learning technologies (e.g., distance, interactive, and multimedia), development of new teaching methods, and participation in teaching enhancement programs and workshops.
3. Teaching awards received. Receipt of awards will be considered as evidence of effective teaching.
4. Student recognition and other awards that result from specific work completed in a given course. Students who achieve recognition through work completed in a course conducted by a given faculty member will be considered as a positive indication of good teaching. Examples include the SPE Technical Paper Contest.
5. Graduate Student Supervision. Chairing M.S. thesis and Ph.D. dissertation committees is an integral element of the instructional effort expected of a faculty member. Completion of (1) Doctoral dissertations and (2) Master's theses (under the direct supervision of the faculty member, as Chair) is an evidence of effective teaching. Co-authored research publications with the graduates are an integral part of the scholarly research activity.
6. Retention. Faculty members support quality of the program by helping to retain outstanding students. Faculty members are encouraged to inform Committee A of their contributions in retention activities.

B. RESEARCH AND CREATIVE ACTIVITY

The following criteria will be used to evaluate each faculty member's research and creative activity.

1. Research publications appearing during the calendar year. Publications will include textbooks, articles appearing in refereed journals, book chapters of archival research value, articles appearing in journals which are not rigorously refereed, proceeding papers, and articles in trade journals that support technology transfer and commercialization goals.
2. Research Support. Direct expenditures on externally funded research projects are the primary evidence of successful research support. The allocations among project participants are defined in advance (e.g., Proposal Cover Sheet allocations) and may be modified by mutual agreement of the Director and project participants, based on actual effort during the calendar year. Proposal efforts are an indication of commitment to research and support of students.
3. Presentations at seminars and conferences. A faculty member's presentation of papers at regional/national/international seminars and conferences, and summer work at national research labs are evidence of research progress and development of research capabilities and reputation.

4. Technology development/technology transfer. Activities that promote technology transfer, development, and intellectual property development are numerous and varied. Following is a list of some of those activities that should promote the School and the Mewbourne College of Earth and Energy should be given positive consideration in evaluation of a faculty member: commercialization of technology (with a particular emphasis on technologies developed at OU), patent applications and patents granted (with particular emphasis on those filed by OU), activities to promote licensing of technology (with particular emphasis on technologies developed at OU), software development and copyrighting of software, developing and teaching industrial training courses, technical consulting, litigative consulting, activities to obtain funding to aid commercialization of technology, direct involvement (e.g., part ownership) in a company that is developing or commercializing OU technology, follow-up activities on a successfully transferred technology to improve it or expand its use, grants or contracts from industry to OU to perform research or develop technology, and mentoring students in development of intellectual property and technology transfer. This list is not exclusive or exhaustive, but illustrates the kinds of activities that are considered appropriate for the Mewbourne School of Petroleum and Geological Engineering faculty involvement to promote technology development.

5. Research and creative activity awards received. Receipt of awards will be considered as evidence of effective research and creative activity.

C. SERVICE

The following areas will be considered in evaluating a faculty member's performance with regard to professional and University service.

1. Participation in professional societies. Each faculty member is encouraged to be active in professional societies. Participation in professional societies is a service function that builds the reputation of the program and is defined as leadership of sessions or programs at regional/national/international conferences, leadership in local chapters, holding of national offices, and involvement in the local student chapter.

2. Regional/national/international professional service. The service of a faculty member on regional or national advisory or regulatory boards is encouraged if consistent with the School and the College strategic plan. National and regional service also includes teaching continuing education and off-campus courses, organizing symposia and short courses, refereeing papers for journals, reviewing books in professional journals, and serving as editor for journals.

3. Participation in various faculty committees within the structure of the University. Nominal effort will be considered to involve at least one committee assignment within the Mewbourne School of Petroleum and Geological Engineering each year. Participation on additional task force studies and committees within the College or University is encouraged.

4. Development. Faculty members are encouraged to participate in promotional programs that will result in gifts to the Petroleum Engineering School by private individuals, companies, and foundations.

5. Recruiting. Faculty members support the quality of the program by helping to recruit outstanding students and are encouraged to inform Committee A of their contributions in

(1) recruitment into the PE undergraduate program, (2) recruitment of OU engineering seniors to enter the graduate program, and (3) recruitment of off-campus students (particularly U.S. citizens) into the graduate program.

6. Mentoring. Faculty members should mentor tenure-track faculty members; advise students in the undergraduate and graduate programs; and serve on Graduate Student Advisory Committees, including Ph.D. dissertation, M.S. thesis, and M.S. non-thesis committees. Faculty mentors will be assigned to tenure-track faculty at the beginning of their career, by the Director and Committee A.

7. Service awards received. Receipt of awards will be considered as evidence of effective service.

IV. PROCEDURAL ASPECTS OF FACULTY EVALUATION

A. FACULTY PLANNING AND GUIDANCE

Annual evaluation is on a calendar year basis. No later than February 1st of each year, the faculty member will compile and submit to Committee A information related to accomplishments of the immediate previous calendar year in the areas of teaching, research and creative activity, and service.

B. ANNUAL MERIT REVIEW OF FACULTY

An annual evaluation of each faculty member will be conducted in accordance to the following guidelines:

1. Committee A will review each faculty member's accomplishments during the prior calendar year in the areas of teaching, research and creative activity, and service. The information recorded by the faculty member on the Mewbourne School of Petroleum and Geological Engineering mini-vitae will be reviewed for its completeness and accuracy.

2. The overall rating for each principal activity (teaching, research and creative activity, and service) will be determined by Committee A, in relation to the expected performance of faculty members of similar rank and experience. The weight assigned to each principal activity for determining the overall composite rating may vary for different faculty members; however, they will generally follow the guideline given below:

Teaching (3 courses per year):	40%
Research and Creative Activity:	40%
Service:	20%

The weights to be used for a given year will be determined by Committee A and the Director in consultation with the individual faculty member at the beginning of each evaluation year. As circumstances change during the year, a faculty member may request an adjustment of these weights. The weights assigned to the three primary areas of faculty professional activities should reflect the nominal assignment of responsibilities and duties to that faculty member and, in a broader sense, the expectation for that individual's contributions to the total program of the School.

3. Each faculty member will then have the opportunity to discuss the annual evaluation and professional plans with the Director. Committee A and the Director will then determine whether any adjustments should be made to the evaluation and/or plans. After this review has been completed, the annual evaluation will be forwarded with the faculty member's signature to the Dean's office. The faculty signature reflects only that the material has been reviewed by the faculty member with an opportunity to discuss the evaluation with Committee A and the Director and to provide a written response.

4. The Director will review the performance rating assigned to each faculty member and develop a plan for allocation of the available funds for merit salary increases. Such a plan will not only consider an individual's performance rating but other factors such as changes in the rating and assignments with respect to the previous year and the overall faculty salary structure of the School/College.

C. Tenure and Promotion Review

The decision to promote or grant tenure to a faculty member will be made using the same criteria followed in the annual merit review process. The procedure to be followed in reaching these decisions will be in accordance with the most recent Personnel Policy Revision approved by the Board of Regents. The Director will provide an annual written evaluation of performance (Progress Toward Tenure letter) to each tenure-track faculty member prior to the applicable notification deadline for reappointment. These deadlines are March 1st in the first year, December 15th in the second year, and May 31st in the third and subsequent years. These evaluations will also contain specific suggestions for improvements and additional activities that will enhance the faculty member's chances for obtaining promotion and/or tenure.

V. GUIDELINES FOR TENURE CONSIDERATION

To minimize subjectivity in faculty decisions related to tenure, the following quantitative parameters are recommended in the three areas of teaching, research and creative activity, and service. It should be recognized that these are not iron clad and a candidate up for tenure may show high level of achievement in one category which may compensate for lower level in another area.

A. TEACHING

The guidelines for tenure consideration for teaching are the same as outlined in Section III for Evaluation of Teaching performance.

B. RESEARCH AND CREATIVE ACTIVITY

1. Research funding secured over five years: \$500,000
2. Publications over five years: Five full length refereed papers and five conference presentations, proceedings, extended abstracts, etc.
3. Student supervision and graduation: Two graduations (both should be thesis option)

C. SERVICE

1. Active in a professional society,

2. One department/college committee, and
3. One University committee.

PROCEDURE FOR PROMOTION OF FACULTY MEMBERS

Mewbourne School of Petroleum and Geological Engineering University of Oklahoma

PROMOTION OR APPOINTMENT TO PROFESSOR

A recommendation for promotion to, or initial appointment to, professor will be based upon an evaluation of the unique cumulative contributions of the individual in teaching, research and related activities over his or her professional career. In all but the most exceptional cases, a faculty member should have earned unquestioned recognition as an effective, committed teacher and well established, widespread reputation for research scholarship and innovative contributions to the advancement of his or her discipline. The cumulative record of achievements offered in support of such a promotion should encompass activities in teaching, research, and service, although there may be greater latitude in the distribution and concentration of effort among these areas than normally expected at the tenure decision and earlier promotions. Except in especially unusual circumstances involving extraordinarily meritorious contributions as a faculty member, promotion to professor from associate professor will not be considered before five years of services as associate professor. In any event, it is essential for a recommendation for promotion to professor that the individual's cumulative professional record constitute a significant contribution to the major objectives of the School, College, and University and that the quality and visibility of these accomplishments demonstrably enhance the stature and reputation of these units.

Faculty members eligible to vote on promotions from assistant professor to associate professor include: all tenured faculty.

Faculty members eligible to vote on promotions from associate professor to full professor include: all tenured full professors.

PROCEDURE TO EVALUATE AND REVIEW RENEWABLE TERM FACULTY MEMBERS

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Ranked renewable term faculty members in MPGE are eligible for promotion as outlined in the Norman Campus Faculty Handbook.

The ranked renewable term faculty members will be evaluated for promotion based on the effort percentages (teaching, research, and service) agreed upon when they were hired and the guidelines provided in the Tenure and Promotion Guidelines. For example, if the school and a ranked renewable term faculty member agree that he/she will be evaluated and reviewed like tenured or tenure-track faculty members (40-40-20: teaching, research, and service for assistant professors), then promotion to the associate level will be based on the criteria for promotion in the Tenure and Promotion Guidelines document.

Ranked renewable term faculty will be afforded all the rights of tenured or tenure-track faculty members in the school except that they will not participate or vote on tenure and promotion decisions. The ranked renewable term faculty members will be evaluated yearly based on the effort percentages (teaching, research, and service) agreed upon when they were hired (or modified at a later date). A ranked renewable term faculty members' effort distribution may include teaching, research, and service in any combination that is consistent with the needs of the school, college, and the university.

VOTING PROCEDURE COMMITTEE A
Mewbourne School of Petroleum & Geological Engineering
University of Oklahoma

- Department sends out notification of the meeting at least a week in advance, giving location and time, names of who are eligible to serve, voting procedure, process and also asking for nominations.
- Eligible faculty members submit self-nomination/nomination to the Administrative Assistant by email. If someone nominates a faculty member he/she should make sure that the nominee is willing to serve. No nominations will be accepted at the meeting. See existing MPGE policy on who are eligible to serve on Committee A.
- All nominations should be submitted at least two business days prior to the Faculty Meeting date to the Administrative Assistant.
- Administrative Assistant will inform the Faculty by email of all the submitted names one business day prior to the Faculty Meeting.
- Voting will be held by confidential paper ballots, prepared prior to meeting with candidate choices for circling.
- Eligible to vote in the elections are only regular faculty members (tenured, tenure-track, ranked renewable term appointments).
- Administrative Assistant will prepare paper ballots with names of the nominees.
- Faculty members who cannot attend the meeting can submit their vote by email or paper ballots, or otherwise forfeit their vote. Emailed ballots will be sent to Dean's office Administrative Assistant and will be delivered in a sealed envelope prior to the meeting. Mailed absentee ballots are placed in the box during the faculty meeting to be counted.
- After balloting at the meeting all ballots will be counted in presence of faculty at the meeting.
- Results of the voting will be announced immediately following the counting and recorded in the Minutes of the Meeting.
- This procedure will also be followed for situations to fill in vacancy when a current Committee A member cannot fulfill his/her full tenure.

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Emeritus Professor Qualifications and Benefits

1) Qualifications

- a. Ten years of active service as professor
- b. Exemplary research & scholarly activity
- c. Recommendation by tenured faculty

Upon recommendation of tenured faculty, and University approval, Emeritus status is bestowed on a retiring faculty with the above qualifications.

2) Expectations

- a. Emeritus faculty members often remain involved in professional activities, including promoting the department, serving on dissertation committees, teaching, and pursuing external grants, to varying degrees.
- b. Emeritus faculty members have experience and wisdom that can be helpful in discussing issues in faculty meetings. Emeritus faculty members can attend faculty meetings and share their experience. At the same time, however, governance of the department is the responsibility of regular rank faculty, and Emeritus faculty members are not eligible to vote at faculty meetings. Emeritus Faculty members are welcomed at faculty meetings, but it is expected they respect the importance of full participation and self-governance by regular rank faculty.

3) Emeritus faculty benefits

- a. The chair will consider emeritus faculty's degree of involvement in departmental and scholarly activities when arranging for new office space, but will have to make decisions within the constraints of the space available. The service level and office allocation will be reviewed and evaluated every two years.

3) Benefits to MPGE by having emeritus professors

- a. It enhances the status/recognition of MPGE and helps promote the Dept. Many schools therefore list emeritus professors at their web sites for this purpose. It is also an indicator of collegiality and appreciation of contribution and service faculty have provided to the university.
- b. We propose that basic office needs for emeritus faculty members will be met by the department (e.g., office supplies and copying). However, staff time will not be

available to emeritus faculty. Other, more limited resources, such as travel funds, will be reserved for regular rank faculty.

- c. It is appropriate that faculty transitioning to emeritus status be recognized for their many contributions to the department.

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