




*The UNIVERSITY of OKLAHOMA®*  
*Office of the Senior Vice President and Provost*

## **POLICY APPROVAL**

### **Department of Communication**

**Policy Document:** Criteria and Procedures for Faculty Evaluation, Tenure, and Promotion

**Approved by:** Department of Communication Faculty  
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DEPARTMENT OF COMMUNICATION

CRITERIA AND PROCEDURES FOR  
FACULTY EVALUATION

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## **Department of Communication Criteria and Procedures for Faculty Evaluation**

The Department of Communication engages in faculty performance evaluation for two purposes. The first is to aid career development by providing information that allows each faculty member to build upon strengths and to improve in weak areas. The second is to provide a documented basis for recognizing the quality of a faculty member's work in the form of salary, tenure, and promotion decisions. The purpose of this document is to detail the criteria and procedures that the Department uses to achieve these two functions. The document aims to be consistent with university policy as described in section three of The University of Oklahoma *Faculty Handbook* (<http://www.ou.edu/provost/pronew/content/fhbmenu.html>). Where there is any conflict between university policy and this document, university policy take precedence. College of Arts and Sciences policy and procedures also take precedence over what is described in this document.

The areas for faculty evaluation are those appropriate to an academic department in a major university and include teaching, research, and service as described below. Taken as a unit, the Department assigns weight to these functions in the following proportion: teaching = 40%, research = 40%, and service = 20%. The Department acknowledges, however, that the contributions of individual faculty members may not, and need not, match these proportions. At the beginning of each calendar year individual faculty members can negotiate with the chair and Committee A the relative weight to be assigned to each function within the following limits: teach (30 to 65%), research (30 to 60%), and service (5 to 30%), excluding special appointments (Department chairs, faculty fellowships, etc.).

The first three main sections of this document (Teaching, Research, and Service) describe the criteria used for evaluations. The remaining sections describe the procedures used to submit and report those evaluations.

## **TEACHING**

### ***Definition***

“Teaching, which is the transmission of knowledge and cultural values, focuses upon helping students learn. As a part of its mission, the University is dedicated to undergraduate, graduate, professional and continuing education. Teaching includes, but is not restricted to, giving regularly scheduled instruction, directing graduate work, and counseling and advising students. This includes the direction or supervision of students in reading, research, internships, or fellowships. Faculty supervision or guidance of students in recognized academic pursuits that confer no University credit also should be considered as teaching. Faculty performing non-administrative professional duties for which they are employed shall be regarded as engaged in teaching when the clear and direct purpose and function of these activities is academic instruction. Professional librarians in the discharge of their professional duties shall be regarded as engaged in teaching.” (*Faculty Handbook 3.6.1*)

## **Evidence of Teaching Performance/Effectiveness**

The following five activities are those in which faculty members are expected to demonstrate effort toward attaining the Department's overall goal of teaching effectiveness. All faculty should contribute to all five areas of performance, although the effort given to any one area will vary according to the individual faculty member's interest and the Department's need. Activity in the following five areas is necessary but insufficient for tenure. Teaching effectiveness will be gauged not only by the activity itself but also by multiple criteria that measure teaching effectiveness.

### **Evidence of teaching performance includes but is not limited to the following areas:**

#### **1. Teaching Evaluations.**

For spring and fall semester of the calendar year include: course number, title, undergraduate and/or graduate enrollment.

#### **Methods of demonstrating merit**

Faculty members should submit evidence of teaching effectiveness, including, but not necessarily limited to, the activities reported below. It is the faculty member's responsibility to make a documented case for his/her teaching effectiveness, delineating his/her plans to improve teaching effectiveness.

- a. Faculty members must submit student evaluations summaries.
- b. Faculty members are encouraged to submit peer evaluations of teaching. In the case of tenure track faculty members, a series of peer evaluations will be conducted annually by tenured faculty over the course of the six-year tenure probationary period. The Department will include reports of classroom observation/evaluation by faculty colleagues in the tenure dossiers of tenure track faculty member. The tenure-track faculty member and department chair will collaborate on choosing appropriate faculty for observations each year. The chair and the tenure-track faculty member should be sure that there are 5 observations (ideally one per year) by the time the faculty member applies for tenure and promotion. In the case of tenured faculty, the faculty members are encouraged to reach out to senior faculty (in the case of associate professors) or other full professors (in the case of full professors) to arrange teaching observations; the chair may collaborate with them to choose appropriate faculty for observations if asked to do so. Teaching observation letters from qualified outside evaluators are also suitable, with prior chair approval.
- c. Faculty members may submit any unsolicited recognition of teaching, such as teaching commendations or awards.

#### **2. Service on graduate committees.**

The departmental expectation is that all faculty who are members of the graduate faculty will serve on graduate committees, which could include AP students.

**Methods of demonstrating merit**

a. Ph.D. dissertations directed/committees chaired

- 1) Completed. List author and title of dissertation. When possible, provide evaluation of dissertation in the form of awards, publications, student placement, or other independent assessment.
- 2) In progress. List name of student.

It is desirable that toward the end of the six-year tenure probationary period, a candidate should have co-directed a dissertation and taken on other Ph.D. advising roles.

b. M.A. Committees chaired

- 1) Completed. If applicable, list author and title of thesis. When possible, provide evaluation of the thesis in the form of awards, publications, student placement, or other independent assessment.
- 2) In progress. List name of student

c. Service on Ph.D. Committees

- 1) Completed. Name of student (and department if other than Communication)
- 2) In progress. Name of student (and department if other than Communication)

d. Service on M.A. Committees

- 1) Completed. Name of student (and department if other than Communication)
- 2) In progress. Name of student (and department if other than Communication)

3. Students enrolled in special course numbers

The Department expects that all faculty demonstrate a willingness to serve as teachers of graduate and undergraduate students in such special courses as Directed Readings, Research Task Force, Independent Studies, and *Internships*.

**Methods of demonstrating merit**

a. Number of students enrolled under Directed Readings, Independent Study, etc.

- 1) Names of graduate students and their topic.
- 2) Names of undergraduate students and their topic.
- 3) Indication of the quality of the effort such as student feedback and/or student product.

4. Development of teaching effectiveness

The Department expects all faculty to monitor continuously their course offerings and their teaching methods with the overall aims of contributing to the Department's teaching goals and improving standards of individual instruction. To this end, new contributions to the Department's course and program development are valued, along with the development of new teaching skills. The Department particularly encourages and rewards course development that furthers departmental curricular goals (e.g., core and General Education requirements) and that may enhance the faculty member's research areas.

### **Methods of demonstrating merit**

- a. Course and program development.
    - 1) Description of course or program.
    - 2) Evidence of approval of course or program at departmental and university level.
  - b. Development of new teaching skills.
    - 1) Participation in teaching-related conferences or institutes.
    - 2) Participation in departmental or university instructional improvement initiatives.
    - 3) Auditing or taking courses to improve teaching.
  - c. Creation of innovative teaching methods or course materials.
5. Other teaching or teaching-related activities.

### **Methods of demonstrating merit**

- a. Supervision of organized instructional activities (e.g., supervision of 1113 or 2613, supervision of advising, internship program, etc.).
- b. External and internal grants for the improvement of instruction.
- c. Conducting colloquia, workshops, short courses or lectures.
- d. Invited lectures in other than assigned courses. List lecture topic, course, and any evaluation available.

## **RESEARCH OR CREATIVE ACHIEVEMENT**

### ***Definition***

“Research, which is the development and validation of new knowledge, focuses upon faculty participation in the extension of knowledge and maintenance of professional development and vitality. Research means systematic, original investigation directed toward the enlargement of human knowledge or the solution of contemporary problems. Creative/scholarly activity is understood to mean significantly original or imaginative accomplishment in literature, the arts, or the professions. The criteria for judging the original or imaginative nature of research or creative/scholarly activity must be the generally accepted standards prevailing in the applicable

discipline or professional area. To qualify as research or creative/scholarly activity, the results of the endeavor must be disseminated and subject to critical peer evaluation in a manner appropriate to the field in question. Included as a meritorious type of scholarly achievement are technology transfer successes and patent awards. (*Faculty Handbook* 3.6.2)

Proof of a contribution to research involves presentation and publication of the contribution in reputable academic forums. The strongest types of evidence of this are peer refereed publications in major journals in communication and allied fields, and book publications by reputable academic publishers. Credit is also given to presentations of manuscripts at conferences of major academic associations in communication and allied fields, particularly if selection is the result of peer review processes. However, presentation at conferences does not substitute for the requirement of publication. Competitive awards for research received from major communication associations are also noted as evidence of the quality of research. Grants and fellowships received for the conduct of scholarly communication research are evidence of strong research activity. Publishable results should accrue from grant or fellowship research within a reasonable period time.

The department expects that each faculty member will publish at a rate comparable to peer institutions and leading towards a national or international reputation. The faculty member should demonstrate a significant independent research program as evidenced by single-author or first-author publications. This expectation is particularly important for non-tenured faculty. It is also recognized that certain types of research and scholarship are better conducted in research teams, particularly with graduate students and colleagues.

## **Evidence of Research Performance**

### **Publications:**

#### **1. Refereed journal articles.**

For journals other than major communication journals, adequate information to assess the quality and relevance of the journal should be provided. This information should always include an identification of the journal's sponsor (e.g. association or university) and publisher. It could also include the names of the editors, the names of the members of the editorial board, its acceptance rate, impact factor of the journal, and a description of its readership/circulation.

- a. Articles in major communication journals: Generally, journals affiliated with major communication associations (e.g., NCA, ICA, BEA, AEJMC, IAMCR).
- b. Major journals in allied, international or interdisciplinary areas may be of equivalent value to major communication journals when they are appropriate to the faculty member's research. This may also apply to communication journals sponsored by regional communication associations (in the U.S.), which are recognized as nationally distributed and respected outlets.

- c. Other communication journals without national distribution and journals published by academic departments, universities, and independent (commercial) academic publishers.

## 2. Books and book chapters.

Publication of scholarly books and book chapters also furnish evidence of research/scholarly productivity, depending on the type of book publication and the authorship. This document treats single-authored (or co-authored) books and edited books separately. In both cases, publication by a reputable academic publisher or university press is expected, and in both cases the review process that the manuscript underwent before publication should be reported.

### a. Authored books.

- 1) Scholarly books published by major academic publishers or university presses. This category includes full-length books representing original scholarship. Scholarly books published by smaller or less substantial publishers, or books that did not go through a peer-review process should be given less credit.
- 2) Mass-market books or undergraduate textbooks may be important contributions to teaching and are not considered to be evidence of research or scholarship, except where such publications can be demonstrated to represent significant original scholarship and to have undergone review processes comparable to those followed by major academic publishers and university presses.

### b. Edited books.

In reporting on publications in edited books, the faculty member may report on the nature of the review process for the book as a whole and on his/her particular contribution to the edited book, as well as the quality and reputation of the press.

- 1) Editor of scholarly book.
- 2) Chapter in scholarly book.

## **Research grants and fellowships:**

Grants, contracts, or fellowships received to conduct scholarly communication research are considered evidence of research productivity. Publishable results should accrue from such funding within a reasonable period of time. Although receipt of research funding adds to the strength of a tenure or promotion case and is clearly very desirable at any time, grant funding is not a requirement for tenure and/or promotion.



In the annual review process and the tenure and/or promotion process, faculty should provide a brief narrative (1-2 sentences or brief paragraph) describing their level of participation in any grant application or awards. This may include their % of contribution, their time commitment, and the current status of the project. This information should include successful and unsuccessful funding submissions. The individual's contribution to the funded research will be considered as well as the nature of the funding.

In the evaluation process, Committee A will give the highest consideration to funded external grants, contracts, and fellowships. Because unsuccessful external funding applications can significantly reduce the time available for working on other scholarship, when the narrative suggests extensive time commitments, unsuccessful applications will also be considered as a more limited indication of scholarly activity than funded applications.

Because applications for internal grants typically involve more limited time and effort than most external funding, Committee A will consider publications resulting from internal grants as the primary evidence of scholarly productivity. When the narrative suggests extensive time commitments, successful or unsuccessful internal applications will also be considered as a more limited indication of scholarly activity than funded internal applications.

Grants and fellowships for purposes other than conducting research, and which will not result in creating publishable scholarship, are not considered evidence of research productivity. For example, travel grants to attend conferences are not considered evidence of scholarly productivity in annual evaluations or tenure and/or promotion evaluations. Grants to improve teaching will be considered in the evaluation of teaching rather than research.

### **Other Evidence of Research Productivity and Quality**

This section describes some additional sources of evidence for research quality and productivity. These enhance a research record but do not substitute for the requirement for publication.

1. Competitive awards for research quality such as "Top-3" or similar awards from conferences of major communication associations.
2. Research papers competitively selected for presentation at conferences.
3. Faculty may offer other evidence of research quality and productivity (citation patterns, recognitions, impact factor of the author, citation counts, invited lectures, awards, etc.).

## SERVICE

### *Definition*

Service, which is the application of knowledge gained through research or creative achievement, focuses upon resolving contemporary problems, identifying new areas for inquiry and development, and sharing knowledge with the larger community. The department recognizes three forms of service that contribute to the goals of the department: professional service and participation in University governance, and public outreach. It is recognized that assistant professors should focus their service efforts within the discipline and the Department. As an individual matures in his/her career, greater participation in University governance or leadership in professional organizations is expected.

**Professional Service.** Professional and University service and public outreach is work done or duties performed by a faculty member to advance the interests and capabilities of various communities, either inside or outside the University. These activities should stem from the faculty member's professional expertise (which is expertise deriving from the individual's professional activities in the categories of teaching, research and creative/scholarly activity, and professional and University service and public outreach, as described herein), and they should support and enhance the faculty member's scholarly stature. The evaluation of professional and University service and public outreach should be in terms of quality and effectiveness of performance and should take into account: (1) the relation of the service and public outreach to the general welfare and efficacy of the University's missions; (2) the relation to the welfare and furtherance of the faculty member's discipline; (3) the effect of the service and public outreach on development of a faculty member's value, professional competence, or professional skills; (4) the enhancement of the capabilities of University colleagues in their teaching, research and creative/scholarly activity and professional and University service and public outreach. (Faculty Handbook, 3.6.3)

**Participation in University Governance.** The nature of the academic enterprise is such that the faculty shares in the formulation of University policies and in making and carrying out decisions affecting the educational and scholarly life of the University. Accordingly, faculty members have a responsibility to contribute to the government and leadership of the University through timely participation on committees, councils, or other advisory groups at the department, college, and University level. In addition, faculty members sometimes are called upon to perform extensive administrative tasks that are essential to the operations of the University. These include positions such as department chair/director, associate or assistant dean, or director of a program or special center. (Faculty Handbook, 3.6.3)

**Public Outreach.** Public outreach is the application of knowledge gained through professional activities; it generally focuses upon resolution of contemporary problems, policy analysis, identification of new areas for inquiry and development, and sharing knowledge with the larger geographical community. Appropriate public outreach activities might include artistic or humanistic presentations; health care delivery; professional consultation; service on local, state, national, or international commissions, advisory boards, or agencies (public or private); participation in a professional capacity in programs sponsored by student, faculty, or community groups; participation in continuing education instructional activities including those sponsored through the College of Continuing Education; service in an organizational or advisory capacity for particular University programs; and public relation activities that serve the University's interests such as appearances as a University representative before government bodies or citizen groups. (Faculty Handbook, 3.6.3).

## **Evidence of Service Performance/Effectiveness**

The following six activities are areas in which a faculty member may demonstrate effort toward promoting the Department's overall goal of service to the discipline and University. Service is expected of all faculty members.

1. Committee service with professional associations, including elected office, conference review process, panel respondent. Describe duties, time involved, and evidence of impact.
2. Editorial activities.
  - a. Editor of a scholarly journal.
  - b. Associate editor or member of the editorial board of a scholarly journal. (Indicate number of papers reviewed.)
  - c. Ad hoc reviewer for a journal article.
  - d. Book reviews published in a scholarly journal.
  - e. Ad hoc reviewer for a book manuscript.
3. University-related committee service. (Indicate name of committee, whether appointed or elected, length of service, chair or member.)
  - a. University committee.
  - b. College committee.
  - c. Departmental committee.
4. Community service activities consistent with the mission of the University
  - a. Workshops and presentations. (Indicate topic, length, audience, sponsor, and nature of faculty contribution.)
  - b. Committee, board or advisory group service. (Indicate name of committee, board, or group, whether appointed or elected, length of service, chair or member.)
  - c. Interviews with the media in your area of expertise.
5. Consulting service.
  - a. Contributed and public service consultation. (Describe project, subject, agency for which undertaken, form of publication of report.)
  - b. Remunerative consultation. (Describe project, subject, agency or company for which undertaken, form of publication of report.)
6. Representing the Department at regional and state professional meetings. (Indicate dates, location, and nature of participation.)

## ***PROCEDURES FOR ANNUAL FACULTY PERFORMANCE EVALUATIONS AND MERIT PAY INCREASES***

The annual evaluation process will conform to the Provost's memo on annual faculty evaluations. In general, this process involves:

1. Each January the chair will issue a call for annual faculty performance reports.
2. Reports submitted by faculty will conform to the criteria and guidelines outlined in the sections pertaining to teaching, research, and service. An updated curriculum vitae and one-page mini-vita should also be included.
3. The chair and Committee A will review each faculty member's report and assign a rating for each of the three categories using the University's rating form.
4. Rated forms will be returned to faculty members who may respond in writing to the evaluation.
5. Upon receipt of the annual review, faculty members will have a one-week opportunity to discuss the evaluations with the chair and/or Committee A.
6. Merit Pay Increases
  - a. The primary criteria for merit pay increases are the same as for tenure and promotion—that is quality of contributions to teaching, research, and service.
  - b. Merit raise evaluations of the quality of contributions in teaching, research, and service are made on the basis of contributions during the three immediately preceding calendar years or the time period since the last merit raises were given.

### ***CRITERIA FOR TENURE AND PROMOTIONS***

1. Tenure
  - a. Contribution to the effectiveness of the department's teaching effort.
  - b. Sustained productive involvement in research.
  - c. Participation in professional, university, or departmental service or in public service consultation.
  - d. Stature comparable to tenured faculty at peer institutions.
  - e. Although a record of scholarship published prior to the year of hiring does not count in the annual evaluation process, that scholarship is included in consideration for tenure and is included in materials sent to external reviewers. Prior publications enhance the case for tenure but are not a substitute for research productivity while at the University of Oklahoma which must meet departmental standards for tenure.
2. Promotion of Associate Professor
  - a. Contribution to the effectiveness of the department's teaching effort.
  - b. Sustained productive involvement in research.
  - c. Participation in professional, university, or departmental service or in public service consultation.
  - d. Stature comparable to same rank at peer institutions.
  - e. Although a record of scholarship published prior to the year of hiring does not count in the annual evaluation process, that scholarship is included in

consideration for promotion and is included in materials sent to external reviewers. Prior publications enhance the case for promotion but are not a substitute for research productivity while at the University of Oklahoma which must meet departmental standards for promotion.

3. Promotion to Professor
  - a. Sustained contribution to the effectiveness of the department's teaching effort.
  - b. Sustained achievement in research.
  - c. Participation in professional, university, or departmental service or in public service consultation.
  - d. National or international recognition in research meriting promotion.

### ***PROCEDURES FOR TENURE-PROGRESS REVIEW***

Each tenure-track faculty member shall participate in an annual tenure-progress review supervised by Committee A and the chair (in consultation with the tenured faculty). The review is designed to enhance teaching, to evaluate a faculty member's progress, and to assist him/her in developing the qualifications and materials necessary for an affirmative tenure decision. In the event that a leave of absence, such as under FMLA or the Department Leave Policy, will prevent a tenure-track faculty member from complying with the customary schedule that occurs early in the spring semester each year, it shall be the faculty member's responsibility to consult in advance with Committee A regarding an alternative schedule for undergoing review, which ideally should occur as soon as possible after the leave ends.

#### **The procedure for the annual tenure-progress review is as follows:**

1. Each spring, the chair and Committee A, in conjunction with tenured faculty, shall establish and make available to the voting faculty a timetable for tenure-progress review.
2. An up-to-date curriculum vitae, copies of publications, student evaluations, annual peer reviews, and other relevant material are to be made available to all tenured faculty members who will be considering the promotion or tenure decision.
3. The tenured faculty shall meet to advise the chair and Committee A regarding each tenure-track faculty member's progress toward tenure.
4. Synthesizing comments made by the tenured faculty, the chair and Committee A will write an assessment of each tenure-track faculty member's progress toward tenure and meet with each faculty member to discuss the assessment. The chair and the tenure-track faculty member will sign two copies of the assessment, and each retain a copy. One copy will be placed in the employee's file. The progress toward tenure letter is then forwarded to the Dean of the College of Arts and Sciences.

## ***PROCEDURES FOR THIRD-YEAR REVIEW***

1. In the spring semester of an untenured faculty member's third year, a third-year review of performance will be conducted. This process will occur at about the same time as faculty performance evaluations.
2. The chair will request that third-year faculty submit any additional information beyond their annual report to be considered for review. With the assistance of the chair, the third-year faculty member will assemble a dossier to be distributed to all tenured faculty. Two or three external letters will be solicited from scholars in the faculty member's area.
3. The tenured faculty will meet to discuss the performance of the third-year, and a vote will be taken at the conclusion of the meeting. Tenured faculty will have three options available in the voting process: (1) Satisfactory progress toward tenure, (2) Unsatisfactory progress, but potential is recognized, (3) Unsatisfactory progress, recommend termination.
4. Committee A and the chair will discuss the vote and forward a recommendation on the faculty member to the dean.

## ***PROCEDURES FOR TENURE/PROMOTION APPLICATION***

Application for tenure and/or promotion should be initiated in the spring of the calendar year in which a faculty member plans to apply for tenure and/or promotion. Faculty being considered for tenure will be evaluated in the six-year period. Except in rare circumstances, assistant professors are evaluated for tenure and promotion simultaneously in the sixth year of probation. Exceptions to this policy are governed by sections 3.7.3 in the *Faculty Handbook*. The procedures for tenure and promotion will be governed by the Provost's annual call for Tenure and Promotion in the year in which the candidate applies.

Faculty members who have been granted extensions of their probationary period according to university policy (Faculty Handbook 3.7.3 H) will apply for tenure and promotion according to the extension agreement.

Faculty members who bring years of experience with them or who demonstrate exceptionally high merit may apply for tenure and promotion prior to the sixth year according to university policy (Faculty Handbook 3.7.3 E & F).

### **Voting Procedures for Tenure and/or Promotion:**

Only those faculty of higher rank can vote on a tenure or promotion decision. This means that only those faculty members holding the rank of association professor with tenure can vote on cases of assistant professors being considered for tenure and promotion. It means

that only faculty of the rank professor with tenure can vote on cases of associate professors being considered for promotion to professor.