

CRITERIA AND PROCEDURES FOR FACULTY EVALUATION
IN THE
DEPARTMENT OF ZOOLOGY
UNIVERSITY OF OKLAHOMA

I. MISSION STATEMENT OF THE DEPARTMENT OF ZOOLOGY

The mission of the Department of Zoology is to foster research in animal biology that is of national and international significance and to provide instruction of high quality to graduate and undergraduate students. The Department also encourages professional leadership and contributes to the mission of the College of Arts and Sciences and the University to serve the state of Oklahoma, the nation and the world. This mission statement and its associated planning assumptions were adopted by the faculty of the Department of Zoology and approved by Committee A in the Strategy for Excellence Plan, 14 December 1987.

II. CRITERIA FOR EVALUATION OF FACULTY

The faculty of the Department of Zoology will be evaluated annually for effectiveness of teaching, research, and service. The performance of a faculty member in these three categories will be the basis for recommending tenure, promotion, and merit-based salary increases. The relative weight given to each area of evaluation can be negotiated to reflect differences in faculty responsibilities, but the typical weightings for tenured faculty are 40% research, 40% teaching, and 20% service. For tenure-track faculty, the weightings are 45% research, 45% teaching, and 10% service to indicate the special emphasis the Department places on research and teaching by new faculty members. The distribution of effort for ranked renewable term faculty generally will be weighted toward teaching or research, depending on the nature of appointment. Faculty members who are appointed at less than 1.0 FTE in the Department of Zoology will typically have weightings that emphasize greater research and/or service, depending on the nature of their other appointments within the University. For such joint appointments, both units will contribute to annual evaluations and to the development of tenure and promotion dossiers. Zoology faculty members who have special research, teaching, or service responsibilities can request that Committee A review their distribution of effort weightings. Changes in weighting will require the approval of Committee A and the Dean of the College of Arts and Sciences. Interdisciplinary teaching, research, and service are encouraged and will be included in the activities evaluated under each area of professional performance.

A. TEACHING. All members of the faculty are expected to be effective teachers. The dimensions of effective teaching include: (1) a mastery of knowledge in the subject; (2) the ability to organize this knowledge, to design and plan a course, and to establish instructional objectives; (3) effective skills of presentation; (4) empathy with students both inside and outside the classroom; (5) ability to evaluate rigorously one's own teaching effectiveness; (6) ability not only to relay knowledge, but also to stimulate thought and enquiry among students; (7) ability to engender enthusiasm; and (8) adherence to high standards of professionalism. No faculty shall

be granted tenure or promotion without evidence that he/she is an effective teacher. Evaluation of teaching effectiveness will be done annually and will be based on the following measures:

1) Student evaluations. The College-administered student evaluation forms for both undergraduate and graduate classes will be used to evaluate the criteria listed above. All lecture and laboratory courses with an enrollment of five or more students will be evaluated each semester. Seminar courses will be evaluated at the discretion of the instructor or Committee A. Both the numerical rankings on the questions and the students' narrative comments will be reviewed by Committee A and be included in the evaluation of the faculty. After review by the faculty member, evaluation forms will be returned to the Zoology Office. Student evaluations will be available for review by tenured faculty at the time of evaluation for a tenure candidate. Similarly, recent evaluation forms will be made available to all faculty eligible to vote for promotion to Professor.

2) Peer evaluations. All classrooms are open to visits by Zoology faculty members, and constructive peer evaluations of teaching are welcome at any time. For faculty members being considered for tenure and/or promotion, both undergraduate and graduate classes/seminars will be observed by other faculty. At least two faculty will observe each tenure-track faculty member's teaching every semester prior to tenure consideration, and peer evaluations will be arranged for faculty members being considered for promotion. The candidate will have the option of selecting one or more observers, and observers can come from another department. Observers will schedule their classroom visits in advance so the candidate can provide syllabi and any other pertinent information about the class that he/she thinks will allow for fair and adequate observation. Classroom visitors will provide a written summary of their observations to the Chair and the candidate. Since peer evaluation also has an important mentoring role, additional comments and suggestions can be provided directly to the candidate. The compiled reports or excerpts from them will be included in the tenure or promotion dossier of the candidate. Faculty will have the opportunity to read the letters of evaluation and make written comments that can also be included in the file.

3) Outside evaluations. Comments on teaching from persons outside the faculty may be useful where the faculty member has participated in teaching at other institutions, summer field stations, workshops, or in extra-departmental programs at the university, such as the College of Liberal Studies or the Oklahoma Center for Continuing Education. These evaluations should be solicited by the individual faculty for inclusion in their file. Anonymous evaluations of teaching can also be solicited by Committee A for inclusion in the dossier. University-wide teaching awards are measures of teaching effectiveness and will be included in the file of the faculty as another measure of teaching excellence.

4) Measures of evaluation. Exit interviews will be conducted with graduating seniors and graduating MS/PhD students by the departmental chair to evaluate courses and teachers. The results of these interviews will be summarized and, if appropriate, will be supplied to the individual files of faculty members. The faculty will have the opportunity to read these comments and to respond in writing for inclusion in their file. Student career success may be a long-term indicator of teaching effectiveness, and monitoring of alumni will be done on a regular basis by surveys and other sources of information.

Successful mentorship of undergraduate and graduate students is an important measure of teaching ability. Lists of students who have participated in undergraduate and graduate research under the guidance of a given faculty member plus the career outcome for that student also may be included in the files of faculty members. Supporting documentation can include papers presented at meetings or published in refereed journals by undergraduate or graduate students and awards received by students for their research (e.g., awards for dissertation excellence or best paper presentations at Undergraduate Research Day or at national/regional meetings). The individual faculty member will be responsible for keeping this information updated.

When appropriate, such as in association with Program Review, alumni will be mailed detailed surveys asking them to evaluate courses taken in the Department of Zoology. Alumni surveys are particularly useful to overcome some of the disadvantages of student evaluations made during a course where the value of the instruction received may not yet be fully apparent to the students. Faculty will have access to these surveys and can respond to the comments in written form. Responses will be included in the permanent file of the individual faculty.

When evaluating teaching effectiveness and effort, consideration will be given to the number of undergraduate and graduate students under the guidance of the faculty member and in their courses.

B. RESEARCH. All tenure-track and tenured faculty members are expected to contribute to their disciplines through original research and publication in refereed journals and books and to contribute to the department by enhancing its research standing at the national/international level. Annual evaluations of research contributions will include assessment of:

1) the quality and quantity of published research articles, books, and book chapters and the faculty member's contribution to those as reflected, for example, by authorship order or statements by collaborators. Faculty members in the candidate's field will be invited to help Committee A assess the quality of specialist journals when necessary. Statements about journal quality, supported where appropriate by other measures, such as the relative impact factors for journals in a given discipline, will be provided in tenure and promotion dossiers. Citations to the faculty member's published papers, such as those provided by *Science Citation Index* (Institute for Scientific Information), may be used as part of the assessment of research, but the limitations of such bibliometric indicators will be recognized.

2) the number of grant proposals submitted, the number of proposals funded, and current external funding for research. Success in obtaining external funding provides evidence of research capability. When receipt of external funding is contingent on peer-review, it also serves as an indication of an individual's ability to generate original research ideas that are of broad significance to his/her discipline and to design appropriate methods for exploring those. Moreover, renewal of such grants provides evidence that the faculty member's prior research has been of high quality, as judged by national standards.

3) the number of papers presented at professional meetings, number of talks given at invited symposia, and number of invited seminars given at other universities. Presenting papers or posters at scientific meetings is an indication of recent/current research activity. Invitations to present research seminars at other universities, to participate in special symposia, or to give

plenary talks at scientific meetings are often indications of the significance of the faculty member's previous research contributions.

4) the number and nature of awards/honors and professional appointments or elections to office. To the extent that these are based on the prior research accomplishments of an individual, they represent strong evidence of the faculty member's stature within his/her field. While the professional activities that accompany either election to office in a professional society or appointment to panels, editorial boards, and so forth, are viewed as contributions falling within the 'Professional Service' category, the appointment/election *per se* constitutes, in many cases, peer recognition of research excellence.

C. SERVICE. Service is an important component of employment in the Department of Zoology. Service can be at the Departmental, University, community, national, or international levels. Evaluation of faculty service will be done annually and will be based on the following measures:

1) University/community service. University service includes participation in Departmental and University governance through committees, boards, councils and similar bodies. Community service includes sharing professional expertise with the community through lectures, reports, and other responses to requests for information. Membership alone is not a measure of the value of service; the quantity and quality of contributions must be weighed.

Lists of University-wide or Departmental committees, including dates and any special services, such as committee chair, will be included in the faculty's file. It is recognized that certain committees take much more faculty time and effort than others, and these time/effort commitments will be taken into consideration when evaluating service for individual faculty.

Service at the Departmental level also includes participation in academic advising of undergraduate students. Numbers of undergraduate student advisees seen during each semester will be supplied by the faculty for inclusion in the permanent file.

2) Professional service. Services to the profession, community, state, and nation that derive directly from a faculty member's professional knowledge and abilities are both encouraged and expected. In many cases, appointment to professional service responsibilities implies recognition of the individual's competence and expertise in research, teaching, or administration, and no independent measures of the quality of the faculty member's subsequent contributions are available. Annual evaluation of such service consequently will be based primarily on the time and effort the individual has contributed to:

- a) professional and scholarly societies through service as a committee member, society officer, or host/organizer of meetings or symposia;
- b) his/her profession as members of editorial boards or reviewers of manuscripts and grant proposals;
- c) his/her profession through editing of scholarly journals, service on advisory panels for federal funding agencies, or membership on site-visit teams;

d) his/her profession through service as a consultant to local, state, national or international governmental bodies, or membership on advisory boards for scientific foundations/organizations, when membership implies professional expertise.

III. PROCEDURES FOR IMPLEMENTING EVALUATIONS

A. ANNUAL EVALUATIONS. The Chair, Committee A, and the faculty member will work together to ensure that all of the appropriate evaluations for teaching, research, and service are done as they are needed.

1) Faculty Service Reports. Annual evaluations are completed by Committee A early in the spring semester. Information is provided to Committee A in the Zoology Faculty Service Report and the Zoology Staff Service Report, which are due the first week of the spring semester. Using these reports and other material as described earlier, Committee A and the Chair will make distinctions among faculty members in the areas of teaching, research, and service and will rank the members as required by the Dean.

2) Committee A Statements. Committee A and the Chair will prepare brief evaluative statements about each faculty member that summarizes his/her performance during the preceding year. The statement and the ranking of the faculty member will be made available to the faculty member. The faculty member will read and sign the statement. The faculty member will also have the opportunity to respond in writing to the statement.

3) Committee A will meet individually with any faculty member who desires to discuss his/her evaluation with the Committee. Committee A will meet individually with each tenure-track faculty member during the spring to discuss his/her progress toward tenure. In addition, the Chair, with recommendations from Committee A, will prepare an annual letter of evaluation of progress toward tenure for each tenure-track faculty member. These letters will strive to recognize both the areas of notable accomplishment and the areas in need of improvement to meet Departmental expectations.

B. TENURE AND PROMOTION EVALUATION

1) Mentors for tenure-track faculty: One or more mentors will be named for each tenure-track faculty member. Mentors will help familiarize the faculty member with policies and opportunities at the Departmental and University levels. Mentors will also assist the tenure-track faculty member in preparing materials for annual evaluation and the tenure dossier. The role of a mentor should be understood as complementing, not replacing, the role of the Chair in facilitating the professional development of each faculty member.

2) Mid-tenure Review: A mid-tenure review will be carried out in the fall of the fourth year of a six year tenure probationary period. For faculty with a reduced tenure probationary period, Committee A will identify an appropriate date for the review. A minimum of the following materials will be made available to the tenured faculty for review: complete curriculum vitae, annual letters on progress toward tenure, annual faculty evaluation forms, publications, abstracts of submitted grant applications, and student evaluations of teaching. At the request of either the candidate or Committee A, external letters of evaluation can also be solicited, but external evaluations will not be routinely required. Committee A will solicit external letters for a mid-tenure review if a majority of faculty vote to request this information to assist their evaluation of the candidate's research contributions. The results of the mid-tenure review discussion will be transmitted to the candidate in writing by the Chair, and this letter will become part of the evaluation documentation included in the tenure dossier.

3) Tenure and Promotion Dossier: Preparation of dossiers for tenure and promotion begins in the spring semester. The candidate will review and update his/her curriculum vitae and prepare written narratives on research, teaching, and service to elaborate on the data presented in the vitae. The candidate will be asked to recommend names of approximately ten individuals who could serve as external reviewers, and additional recommendations will be solicited from faculty members in the candidate's field. The candidate will also have the opportunity to identify individuals who should not be asked for an evaluation letter due to potential conflicts of interest or other professional concerns. External evaluators must be individuals without close personal association with the candidate as research collaborators, members of dissertation advisory committees, or other especially close interactions. Committee A will review all recommendations and will select those to whom the curriculum vitae, narrative, and representative publications will be sent. Ranked renewable term faculty will have dossiers that reflect their distribution of effort among teaching, research, and service. In the case of ranked renewable term faculty whose distribution of effort is primarily weighted toward teaching, the dossier will include materials that are primarily or exclusively relevant for the candidate's teaching and service accomplishments. Accordingly, some or all external evaluators of these ranked renewable term faculty will be individuals qualified to assess the candidate's teaching effectiveness. Materials will be sent to external reviewers before the beginning of the fall semester. The dossiers will be completed early in the fall semester and will be available for review by the faculty according to the timetable established by the Provost and the Dean.

4) Voting: Dossiers are only available for review by those who are eligible to vote. The vote on tenure is limited by the Faculty Handbook to tenured faculty members. Since the same dossier is used for tenure and for promotion to Associate Professor, the dossiers for tenure-track Assistant Professors will only be available for review by tenured members of the faculty. Promotion to Professor is based on the recommendation of both tenured and tenure-track

faculty. Dossiers of ranked renewable term faculty are available for review by both tenured and tenure-track faculty. A faculty meeting for discussion of dossiers will be announced at least two weeks in advance, and all except those who are eligible to vote will be excused from the discussion portion of the meeting.

C. NOTES ON EVALUATION OF THE ABOVE CRITERIA

1) Tenure and Promotion to Associate Professor for Tenure-track Faculty: Tenure is probably the most important personnel decision to be made in the career of a faculty member at the University. The criteria listed above must be applied to an individual's entire previous career, but with emphasis on the more recent contributions to teaching, research, and service in proportion to the candidate's official distribution of effort weightings. The criteria will be used to determine the potential for continued and long-term career development and consonance with Departmental and University long-range goals.

A faculty member granted tenure and promotion to Associate Professor in the Department of Zoology must have demonstrated a level of research proficiency that equals or exceeds that expected of newly-tenured individuals at comparable institutions. Except in unusual circumstances where an individual's teaching is extraordinarily effective, this will require that the faculty member: (a) demonstrate that he or she has established an independent research program during the probationary years; (b) show evidence of sustained research productivity; (c) demonstrate that he or she has made solid progress toward acquiring a national reputation in his/her discipline.

The significance of research contributions is often not manifested until several years post-publication, and the qualifications of a researcher are best judged in terms of the individual's cumulative impact on a field. Therefore, in addition to the factors used in annual evaluation (namely, the quantity of research publications and the quality of the publication outlet, the nature and consistency of external funding received and efforts to secure external funding, and the receipt of honors, awards, and appointments that indicate excellence in research), the following will be used in assessing the significance of the candidate's research contributions: (a) external evaluation, and (b) measures of the frequency with which papers have been cited by other investigators and by textbook authors.

When a faculty member is appointed in two different budget units, both will participate in the annual evaluations and in the development of dossiers. Other evaluation processes will be defined in the initial letter of appointment, subject to later clarification or modification with the approval of the Dean of the College of Arts and Sciences and the Provost.

2) Promotion to Professor for Tenured Faculty: For promotion to Professor, an individual will normally be expected to have attained recognizable stature at the national/international level, and the above procedures will be used in evaluating promotion dossiers. In exceptional situations, promotion to Professor may be based entirely or primarily on teaching; such promotions will be made

only to the truly outstanding teacher who, as a minimum, must meet the criteria normally used for appointment as a David Ross Boyd Professor.

3) Promotion of Ranked Renewable Term Faculty: Criteria for promotion of ranked renewable term faculty will be the same as those of tenure-track and tenured faculty, except that special attention will be paid to the candidate's distribution of effort, which will typically be heavily or exclusively weighted toward either teaching or research. Accordingly, application of evaluation criteria will be proportionate to the candidate's distribution of effort.

Faculty whose distribution of effort is primarily in teaching will be evaluated primarily on the basis of teaching effectiveness using the criteria described in section II-A of this document. To be granted promotion to Associate Professor such a candidate must have a demonstrated and sustained record of highly effective teaching. To be granted promotion from Associate Professor to Professor such a candidate must be a truly outstanding teacher with a sustained record of exceptional teaching.

Faculty whose distribution of effort is primarily in research will be evaluated primarily on the basis of performance in research using the criteria described in section II-B of this document.

Consideration for promotion to Associate Professor will typically occur no earlier than the sixth year of appointment as ranked renewable term faculty. Consideration for promotion to Professor will typically occur no earlier than five years after attaining the rank of Associate Professor. Candidates seeking consideration for promotion should contact the department Chair no later than one year prior to the year in which promotion is to be considered.

D. NOTIFICATION

The Chair will notify each candidate for tenure or promotion of the recommendation made at each step of the evaluation process in accordance with the University Handbook. As soon as feasible after delivery of official salary notifications from the President's Office, each faculty member may request from the Chair the reasons for the salary recommendation that was made. It is the duty of the Chair to discuss such matters individually with the faculty who request such information, to keep the Department informed of recommendations on tenure and promotion, and to provide each tenure-track faculty member an annual letter of progress toward tenure in accordance with the Faculty Handbook.

IV. SUPERSESSION

This policy supersedes the Criteria for Promotion, Tenure, and Merit Increases adopted by the Zoology faculty on 8 September 1976 with revisions approved on 10 November 1976. In the event of conflict between the Zoology Criteria and Procedures for Faculty Evaluation and the University of Oklahoma Faculty Handbook and related University policies, the latter will apply.

Approved by a vote of the Zoology Faculty on 24 April 1996.

James N. Thompson, jr., Chair
William J. Matthews, Committee A
Joseph A. Bastian, Committee A

Approved by the Provost on 1 December 1997.

Section III.B.(2) revised by vote of the Zoology Faculty on 3 February 1999.

Section III.B.(2) revision approved by Provost on 5 March 1999.

Section III.C (3) addressing ranked renewable term faculty revised by vote of faculty April 20, 2005, and approved by Provost on May 4, 2006.



The University of Oklahoma

OFFICE OF THE SENIOR VICE PRESIDENT AND PROVOST

Arts & Sciences

MAY 16 2006

Dean's Office

TO: William Matthews, Chair, Department of Zoology
FROM: Nancy L. Mergler, Senior Vice President and Provost
DATE: May 4, 2006
SUBJECT: Proposed Departmental Criteria and Procedures for Faculty Evaluations
To Cover "Ranked Renewable Term Faculty Revisions"

I am pleased to approve your proposed renewable term faculty appointments procedures as transmitted to this office on April 12, 2006.

Development of these procedures is an arduous but important task. I extend thanks to everyone in the department who contributed to the process.

NLM:mrg

Cc: Paul B. Bell Jr., Dean, Arts and Sciences



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TO: Nancy L. Mergler
Senior Vice President and Provost

FROM: Paul B. Bell, Jr.
Dean

DATE: April 11, 2006

SUBJ: Criteria and Procedures for Faculty Evaluation in the Department of Zoology
Ranked Renewable Term Faculty Revisions

I have reviewed the new section on Renewable Term Faculty for the Department of Zoology, which can be found in Section III.C(3), "Notes on Evaluation of the Above Criteria" of the attached Criteria and Procedures for Faculty Evaluation. I am forwarding it to you with the recommendation that it be approved as an amendment to their personnel policies. Please feel free to contact me should you have any questions.

PBB:so

Attachment

cc: William Matthews
Kelly Damphousse