

CLINICAL PERSONNEL DOCUMENT DEPARTMENT OF MATHEMATICS

The following was adopted by the Mathematics Department by a faculty vote on April 25, 2016.

1. INTRODUCTION

This document concerns personnel actions and other procedures that are relevant to clinical faculty. It is to be considered an addendum to the Personnel Document of the Department of Mathematics. This document has substantial overlap with procedures described in various O.S.U. Policy and Procedures documents including especially 2-0903. Where provisions from the Personnel Document of the Department of Mathematics are included in this document by reference, the Clinical Personnel Committee shall play the role assigned to the Personnel Committee, and the term “faculty member” and similar terms shall be understood to refer to members of the clinical faculty as necessary to make sense of the included provisions.

2. THE CLINICAL PERSONNEL COMMITTEE

2.1. The Charge of the Committee.

2.1.1. The Clinical Personnel Committee is charged with making recommendations to the Department Head concerning the annual appraisal of the clinical faculty, reappointment of clinical faculty members, and promotion of clinical faculty members.

2.2. The Composition of the Committee and Eligibility to Vote.

2.2.1. The Committee shall consist of the five ordinary members of the Personnel Committee, one additional ordinary member, and a special member elected or appointed pursuant to 2.2.5 if necessary. The additional ordinary member shall hold a clinical rank and shall serve a one-year term.

2.2.2. The Chair of the Personnel Committee shall be the Chair of the Committee.

2.2.3. An untenured member of the Committee who holds a tenure track rank shall not be eligible to vote on any promotion action. A member of the Committee who holds a clinical rank shall not be eligible to vote on a promotion action unless the member’s rank is equal to or higher than the rank that would be held by the candidate in the event that the action were approved.

2.2.4. The additional ordinary member shall be elected from among the eligible clinical faculty members in the Mathematics Department if there are any. If no clinical faculty member in the Mathematics Department is eligible then the Department Head shall appoint a clinical faculty member from another unit to serve as the additional ordinary member of the Committee.

2.2.5. The Committee must include a clinical faculty member who is eligible to vote on each promotion action before it. In the event that this requirement is not satisfied by the ordinary members of the Committee, a special member shall be added to the Committee. Special members shall not participate in any business of the Committee for which their participation is not required. A special member shall be elected from among the eligible clinical faculty members in the Mathematics Department if there are any. Otherwise, the Department Head shall appoint a clinical faculty member from another unit to serve as the special member. Eligibility for election as a special member shall be determined by 2.2.6 and whatever additional restrictions are necessary to establish eligibility to vote if elected or appointed.

2.2.6. Clinical faculty will be ineligible to serve on the Committee while they fall into one or both of the following categories:

- (a) Any clinical faculty member in a year during which they are applying for promotion.
- (b) Clinical faculty members who will be on leave for at least one semester during the year.

2.2.7. When a clinical faculty member ceases to serve as an ordinary member of the Committee, for whatever reason, he or she is ineligible to serve again for a period equal to the period he or she has just served.

2.2.8. Members of the Committee who become ineligible to serve must resign from the Committee, effective from the date of their ineligibility.

2.2.9. If the additional ordinary member of the Committee does not complete a one-year term then a replacement shall be elected or appointed to complete the term.

2.3. Procedure for Elections to the Committee.

2.3.1. The election of new members of the Committee shall take place in the Fall Semester, by the end of the second week. The election shall be administered by the same faculty members who administer the Personnel Committee election in accordance with 2.3.1 of the Mathematics Department Personnel Document.

2.3.2. The Department Head and emeritus faculty are not eligible to vote in the election. All other tenure track and clinical faculty members are eligible to vote, and proxy votes shall be accepted from faculty members unable to attend the election in person.

2.3.3. The election shall be by secret ballot.

2.3.4. The voting scheme for both ordinary and special members of the Committee shall be that described in 2.3.4 of the Mathematics Department Personnel Document (the Point Ballot System) adjusted according to the number of members who must be elected.

2.4. Confidentiality.

2.4.1. All deliberations of the Clinical Personnel Committee shall be confidential.

3. DEPARTMENTAL PROCEDURES

3.1. Appraisal and Development.

3.1.1. Clinical faculty members participate in the yearly Appraisal and Development process. The purpose of this process is the same as that described in 3.1.1 of the Mathematics Department Personnel Document.

3.1.2. The responsibilities of the clinical faculty member and the Department Head are the same as those laid out in 3.1.2 and 3.1.4, respectively, of the Mathematics Department Personnel Document. The responsibilities of the Clinical Personnel Committee are those laid out in 3.1.3 (1), (2), and (4) of the Mathematics Department Personnel Document, together with the following provision, which replaces 3.1.3 (3) of that document.

3.1.3. The Clinical Personnel Committee shall compose a written assessment addressed to the Department Head concerning the clinical faculty member's appraisal and development report. The assessment is intended to aid the Department Head in preparing his or her draft appraisal and development statement. To this end, the assessment shall generally have both an informative and an evaluative component. The assessment shall include advice to the Department Head regarding reappointment of the clinical faculty member. If the Committee does not advise in favor of reappointment then specific deficiencies should be identified and suggestions for correcting them should be made. Members of the Committee are excluded from the deliberations concerning their own ranking and the assessment to be made of them.

3.1.4. Clinical faculty members are ranked in relation to the clinical faculty as a whole, but not in relation to the tenure track faculty.

3.2. Promotion.

3.2.1. This section concerns promotion of clinical faculty members. It describes those steps that take place within the Mathematics Department; there are also steps that take place beyond it.

3.2.2. *The Candidate.* Each candidate for promotion bears the ultimate responsibility for preparing his or her case. The candidate is encouraged to seek the advice of the Department Head in doing so. The Department Head will establish a timetable for the completion of each of the steps described in this subsection, which the candidate is required to observe. The responsibilities of the candidate are as follows:

- (1) To inform the Department Head in writing that the candidate wishes to be considered for promotion.
- (2) Promotion to Clinical Associate Professor or Clinical Professor requires external letters to help document the candidate's regional or national reputation, as described in 4.6.1 and 4.7.1. External letters may also be used to document certain other aspects of a promotion case at the candidate's discretion. When external letters will form part of a promotion case, the candidate has the responsibility to prepare a list of suggested reviewers. When external letters are being sought at the candidate's discretion, the candidate also has the responsibility to identify what aspects of his or her case these letters should pertain to. The list should satisfy the guidelines described in 3.3.4 (1) of the Personnel Document of the Department of Mathematics.
- (3) To prepare documentation of his or her case. The minimum required documentation is a current vita. The candidate has the discretion, with the Department Head's agreement, to include additional documentation. The candidate is encouraged to ensure that each major aspect of his or her case is appropriately documented. The Department Head's Appraisal and Development statements for the period since the initial appointment or since the last promotion are included in the candidate's file. Normally, these statements will play a major role in meeting the requirement for documentation.
- (4) To arrange for independent evidence of proficiency in teaching and in clinical duties to be included in the file. A common approach to fulfilling this requirement is to solicit confidential letters from one or more senior colleagues evaluating the candidate's performance in these areas. Other types of evidence, including teaching evaluations, and pedagogical and clinical materials are welcome. However, teaching evaluations by themselves cannot be used to fulfill this requirement.
- (5) To complete the Appraisal and Development process under the schedule established by the Department Head.
- (6) To provide the Chair of the Clinical Personnel Committee with a copy of a current vita. The candidate may also choose to provide the Chair of the Clinical Personnel Committee with additional items, such as samples of teaching materials, clinical materials, and publications, that the candidate wishes to be made available to the unit faculty for comment.

3.2.3. *The Clinical Personnel Committee.* The responsibilities of the Clinical Personnel Committee are as follows:

- (1) For a promotion case that will include external letters of review, to prepare a list of reviewers for the case. In the preparation of this list, the Committee should take appropriate notice of the list suggested by the candidate, of the candidate's purpose in seeking the letters when this is at the candidate's discretion, and of the candidate's vita. Normally, the final list should be comprised of names suggested by the candidate and names suggested by the Committee in roughly equal numbers. The aim is to obtain independent documentation of the candidate's professional reputation regionally or nationally, as appropriate to the action considered, and also to obtain documentation of other aspects of the case at the candidate's discretion. There is no minimum number of letters that must be obtained for a promotion case to proceed, but the Committee must ensure that the external letters, in total, provide adequate coverage of those aspects of the case that are to be documented in this way. The list is not made available to the candidate.
- (2) To solicit letters from the reviewers chosen pursuant to (1). A copy of the letter used for this purpose, edited to remove any specific identifying information, is made available to the candidate before the letter is sent to the reviewers. In cases where it is necessary to use several substantially different letters for these solicitations, the candidate will be provided with an edited copy representative of each type. Each solicitation letter must clearly state whether or not the candidate has waived his or her right to review the letters that are received concerning his or her case. All letters that are received in reply to this solicitation must be forwarded to the Department Head for inclusion in the candidate's file.
- (3) To complete their part of the Appraisal and Development process for the candidate.

- (4) To solicit comment on the candidate's case from unit faculty (both tenure track and clinical faculty). The Chair of the Clinical Personnel Committee shall send a letter to unit faculty inviting comment on the candidate's case, specifying that such comment must be made in the form of a letter addressed to the Chair, stating whether or not the candidate has waived access to unit faculty comment, and allowing at least ten days for it to be received before the Committee begins its deliberation on the case. To facilitate the comment process, the Chair shall make the candidate's vita, a copy of the form signed by the candidate waiving or declining to waive access, and any other material provided by the candidate available to faculty members on request. The Chair shall preserve any comments received until the final disposition of the candidate's case.
- (5) To review the candidate's completed case file and conduct a vote on the question of whether to support or oppose promotion. The number of votes to support and the number to oppose, together with such reasons as the Committee may see fit to include, should be reported in the form of a single letter, addressed to the Department Head and signed by all the members of the Committee who took part in the vote. If the vote is not unanimous then those supporting each side must be given the opportunity to include in the letter such justification for their position as they see fit. In the event that any member of the Committee recused themselves from the vote this fact must also be reported. A tie shall result in a recommendation opposing promotion.

3.2.4. *The Department Head.* The responsibilities of the Department Head are as follows:

- (1) To establish a schedule for the promotion process within the Department and communicate it to the candidates, the Department, and the Clinical Personnel Committee, as appropriate. This schedule must allow adequate time for the candidates and the Clinical Personnel Committee to discharge their responsibilities in the process. It should include a schedule for completing the Appraisal and Development process with each candidate in time to be included in his or her case file.
- (2) To assist each candidate in the preparation of his or her case file, and to secure a signed form waiving the candidate's right to access external review letters (if such letters are being sought), and a signed form waiving the candidate's right to access unit faculty comment, if the candidate chooses to waive either or both of these rights.
- (3) To provide each candidate with a copy of the Clinical Personnel Committee's letter concerning his or her case when this becomes available. In the case of a negative recommendation from the Clinical Personnel Committee, the Department Head shall inform the candidate of his or her right of rebuttal at this time.
- (4) To review the candidate's case file and compose a letter, addressed to the Dean of the College of Arts and Sciences, either supporting or opposing promotion. This letter shall be provided to the candidate and the Clinical Personnel Committee. In the case of a negative recommendation following a positive recommendation of the Clinical Personnel Committee, the Department Head shall inform the candidate of his or her right of rebuttal at this time.
- (5) To assemble all required documentation for each case and submit it to the College of Arts and Sciences in a timely fashion.

4. EVALUATIVE CRITERIA

4.1. Description of Significant Terms.

4.1.1. The terms defined in Section 4.2 of the Personnel Document of the Department of Mathematics are incorporated into this section.

4.1.2. *Clinical Duties.* Clinical duties aid the Department in fulfilling its teaching mission by promoting the delivery of organized, high-quality instruction in mathematics. This portion of a clinical faculty member's responsibilities generally consists of ensuring that a course (or multiple courses, or the Mathematics Learning Success Center (MLSC)) runs smoothly, providing a relatively uniform experience across multisection classes that prepares students appropriately for subsequent mathematics courses, providing instructional staff with helpful teaching materials, and mentoring those they supervise. The mentoring component includes observing instructional staff members' teaching and conducting discussions with the instructional staff about their teaching performances. Clinical faculty members should play a strong role in the teaching

professional development of instructional staff, particularly graduate teaching assistants. Some clinical faculty may also engage in non-research scholarship in the context of their clinical duties. This includes, but is not limited to, activities such as curriculum development and analyzing teaching and learning in OSU mathematics courses, using qualitative and/or quantitative methods to understand student success and the effectiveness of certain pedagogical methods and interventions.

4.2. Methods of Evaluation.

4.2.1. The methods of evaluation described in Section 4.3 of the Personnel Document of the Department of Mathematics are incorporated into this section.

4.2.2. *Clinical Duties.* Comments from student surveys of instruction and from instructors whom a clinical faculty member has supervised provide evidence of effectiveness in clinical duties. These comments may address the organization of the course (or MLSC as appropriate), the quality of any course materials or tutoring materials the clinical faculty member has developed, how the clinical faculty member has mentored instructional staff, and other aspects of clinical duties distinct from the clinical faculty member's own teaching effectiveness. Reports from appropriate departmental administrators, such as Associate Heads, who oversee the course(s) (and the sequel(s)) that a clinical faculty member supervises may also give insight into the organization and effectiveness of the course(s). While DFW rates and similar quantitative measures of student performance may be evidence of effectiveness or lack thereof in clinical duties, they must be considered in the appropriate context and should never be the sole factor in evaluation in this category. Positive external letters from experts who comment on the quality of the course(s) on which the clinical faculty member has worked and the materials he or she has developed are strong indicators of success and are essential for some purposes. Prizes or awards made by the University, professional societies, or other competent bodies shall be interpreted in accordance with the stated criteria of the body that awards them. In appropriate cases, they may thus indicate success in clinical duties. Invited presentations at regional, national, and international meetings or other universities about the clinical aspects of a clinical faculty member's job are generally also indicators of positive performance.

4.3. Criteria for Annual Appraisal and Development Process.

4.3.1. The Appraisal and Development process has several different purposes, each with its own specific criteria. The first is to provide feedback to each member of the faculty on his or her progress towards career milestones such as promotion within the clinical ranks. The relevant criteria for this aspect of Appraisal and Development are those that apply for the next milestone that the faculty member seeks to reach. The second major purpose of Appraisal and Development is to identify merit so that it may be rewarded. For this purpose, the criteria are very broad. Outstanding achievements in clinical duties, teaching, and research will be recognized, as will unusual service rendered to the Department, the University, or the Profession. Activities that serve the Department in less prominent but nevertheless essential ways also deserve recognition. Finally, consistent with Section 3 of OSU Policies and Procedures 2-0903, the Appraisal and Development process is used to determine whether a clinical faculty member has performed satisfactorily and should continue to be employed and/or reappointed. The primary basis for such a determination is the clinical faculty member's performance in teaching and in clinical duties.

4.4. Overview of Criteria for Promotion in the Clinical Ranks.

4.4.1. The primary responsibilities of a clinical faculty member are clinical duties and teaching. Thus any promotion case must be based in large part on performance in these two areas. If a clinical faculty member and the Department Head agree on significant duties in other areas, including but not limited to research or scholarly activity, then this portion of the assignment may be considered in the promotion case and may bolster or diminish the case for promotion. However, excellence in clinical duties and teaching are necessary for any promotion and should generally be the primary factors considered.

4.5. Criteria for Promotion to Clinical Assistant Professor.

4.5.1. It is expected that most clinical faculty members who possess a doctorate in mathematics or a closely related field will be hired at the Clinical Assistant Professor level. This is appropriate recognition of their scholarly achievement and prior experience teaching in a program with doctoral students. If a clinical faculty member holding a doctorate in mathematics or a closely related field is hired at the Clinical Instructor level, then after one academic year of satisfactory performance, such a faculty member may reasonably ask and expect to be considered for promotion during the following academic year to Clinical Assistant Professor.

4.5.2. In order to be recommended for promotion, a candidate must demonstrate excellence in his or her clinical duties. The course(s) (or the MLSC as appropriate) the candidate supervises should be running smoothly, providing a uniform, high-quality mathematics course that prepares students well for subsequent courses. The candidate should exhibit success in mentoring instructional staff, especially graduate teaching assistants.

4.5.3. Teaching is a vital component of the assignment of a clinical faculty member, and clinical faculty members serve as role models for those whose teaching they supervise. In order to be recommended for promotion, the candidate must have a record of high-quality teaching.

4.5.4. Some clinical faculty members may have an agreement with the Department Head in which the clinical faculty member has additional duties in his or her workload, including but not limited to research, scholarly activity, and outreach. These responsibilities are secondary to the clinical and teaching duties. They may play a proportionate role in a promotion case, but no clinical faculty member will be promoted without exhibiting a strong record of clinical duties and teaching.

4.5.5. The Department does not require letters from external referees as part of the file for a candidate seeking promotion to Clinical Assistant Professor because there is no requirement in this rank that the candidate establish a strong professional reputation outside Oklahoma State University. The candidate may ask that the Clinical Personnel Committee seek external letters to evaluate research and/or scholarly activity.

4.5.6. Promotion to Clinical Assistant Professor does not require any particular period of time spent at the rank of Clinical Instructor. A clinical faculty member who has established a strong record of performing his or her clinical duties and teaching responsibilities well would normally be ready for promotion within several years of his or her hiring as a Clinical Instructor. However, there is no requirement that Clinical Instructors seek promotion to Clinical Assistant Professor.

4.6. Criteria for Promotion to Clinical Associate Professor.

4.6.1. In order to be recommended for promotion to Clinical Associate Professor, a candidate must demonstrate sustained excellence in his or her clinical duties. As in the criteria for promotion to Clinical Assistant Professor, the course(s) (or the MLSC as appropriate) the candidate supervises should continue to be running smoothly, providing a uniform, high-quality mathematics course that prepares students well for subsequent courses. The candidate should exhibit continued success in mentoring instructional staff, especially graduate teaching assistants. In addition, the candidate should have developed a statewide or regional reputation for his or her clinical activities, demonstrating innovative instruction, a visibility beyond campus, and engagement with state or regional activities related to the candidate's clinical duties. If the candidate has taken a leadership role in state or regional initiatives to improve the teaching of mathematics, that would be particularly good evidence of this type of engagement. Because it is important to evaluate whether a candidate at this level has established a reputation in the state or region, external letters from experts commenting on the candidate's clinical duties and engagement beyond the University are necessary.

4.6.2. Teaching is a vital component of the assignment of a clinical faculty member, and clinical faculty members serve as role models for those whose teaching they supervise. In order to be recommended for promotion, the candidate must have a continuing and sustained record of high-quality teaching.

4.6.3. In order to be recommended for promotion to Clinical Associate Professor, the candidate must have shown a willingness to engage in service to the Department and effectiveness in doing so.

4.6.4. Some clinical faculty members may have an agreement with the Department Head in which the clinical faculty member has additional duties in his or her workload, including but not limited to research, scholarly activity, and outreach. These responsibilities are secondary to the clinical and teaching duties. They may play a proportionate role in a promotion case, but no clinical faculty member will be promoted without exhibiting a strong record of clinical duties and teaching.

4.6.5. Promotion to Clinical Associate Professor does not require any particular period of time spent at the rank of Clinical Assistant Professor. Achieving the necessary professional stature for promotion may be rapidly demonstrated by singular professional achievement, and it may also be demonstrated by the cumulative effect of continued professional activities over a longer period of time. Unlike in the tenure-track ranks, in which Assistant Professors must seek promotion to Associate Professor, Clinical Assistant Professors need not seek promotion to Clinical Associate Professor, though they are encouraged to do so if they have achieved a record commensurate with the higher rank.

4.7. Criteria for Promotion to Clinical Professor.

4.7.1. In order to be recommended for promotion to Clinical Professor, a candidate must demonstrate sustained excellence in his or her clinical duties. As in the criteria for promotion to Clinical Assistant Professor and Clinical Associate Professor, the course(s) (or the MLSC as appropriate) the candidate supervises should continue to be running smoothly, providing a uniform, high-quality mathematics course that prepares students well for subsequent courses. The candidate should exhibit continued success in mentoring instructional staff, especially graduate teaching assistants. In addition, the candidate should have developed a national reputation for his or her clinical activities, demonstrating innovative instruction, a visibility beyond campus, and engagement with state or regional activities related to the candidate's clinical duties. The candidate must have taken a leadership role in state or regional initiatives to improve the teaching of mathematics, and engagement at the national level is highly encouraged. Because it is important to evaluate whether a candidate at this level has established a national reputation, external letters from experts commenting on the candidate's clinical duties and engagement beyond the University are necessary.

4.7.2. Teaching is a vital component of the assignment of a clinical faculty member, and clinical faculty members serve as role models for those whose teaching they supervise. In order to be recommended for promotion, the candidate must have a continuing and sustained record of high-quality teaching.

4.7.3. In order to be recommended for promotion to Clinical Professor, the candidate must have shown a willingness to engage in service to the Department and effectiveness in doing so.

4.7.4. Some clinical faculty members may have an agreement with the Department Head in which the clinical faculty member has additional duties in his or her workload, including but not limited to research, scholarly activity, and outreach. These responsibilities are secondary to the clinical and teaching duties. They may play a proportionate role in a promotion case, but no clinical faculty member will be promoted without exhibiting a strong record of clinical duties and teaching.

4.7.5. Promotion to Clinical Professor does not require any particular period of time spent at the rank of Clinical Associate Professor. Achieving the necessary professional stature for promotion may be rapidly demonstrated by singular professional achievement, and it may also be demonstrated by the cumulative effect of continued professional activities over a longer period of time.

5. APPOINTMENT AND REAPPOINTMENT OF CLINICAL FACULTY

5.1. **Initial Appointment.** Clinical faculty members help the Department in fulfilling central parts of its mission, providing high-quality, uniform instruction to thousands of students each year and mentoring the Department's graduate students. It is vital that the Department be able to recruit and retain outstanding personnel in these positions. Therefore faculty members in the clinical ranks shall have initial appointments of three years.

5.2. Performance Evaluation for Reappointment. The performance of clinical faculty members is assessed through the Mathematics Department's yearly Appraisal and Development process. The Department Head's Appraisal and Development statement for clinical faculty members should specifically address satisfactory or unsatisfactory performance for the purposes of reappointment.

5.3. Reappointment. After each satisfactory performance evaluation, a clinical faculty member's appointment shall be extended to end three academic years following the academic year in which the clinical faculty member received the satisfactory evaluation. In the case of unsatisfactory performance, the appointment will remain at two years, and the clinical faculty member will be given specific recommendations for correcting the deficiencies. If acceptable progress is made after one year, as determined by the Department Head with the advice of the Clinical Personnel Committee, then the appointment will once again be restored to three years. However, if deficiencies persist then the remaining year will become the terminal year of the appointment.

Approved by faculty vote on April 25, 2016

Signed,

Head of Department of Mathematics

Dean of College of Arts And Sciences


