

Personnel Document
On Evaluative Criteria, Procedures and General Standards for Initial Appointment, Successive
Appointments, Promotion, Tenure,
Annual Review, and Post-Tenure Review of Faculty
And for Appointment and Annual Review of Non-Classified Staff

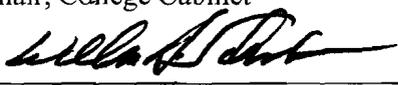
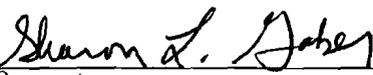
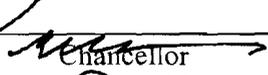
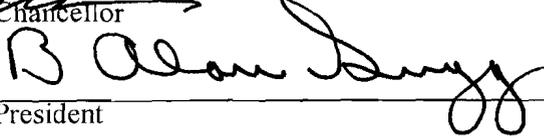
J. William Fulbright College of Arts and Sciences

This document governs the J. William Fulbright College of Arts and Sciences in the selection, retention, promotion, granting of tenure to, and evaluation of faculty and in the selection and evaluation of non-classified staff, effective November 1, 2009. It has been approved by the faculty of the J. William Fulbright College of Arts and Sciences, the Dean, the Provost, the Chancellor, and the President of the University of Arkansas, as indicated by the signatures below.

These policies are required to be consistent with the policies of the university as set forth in Board of Trustees policy 405.1 and in three campus policy statements: (1) Evaluative Criteria, Procedures and General Standards for Initial Appointment, Successive Appointments, Promotion and Tenure, (2) University Professorships, and (3) Distinguished Professorships. In case of conflict, the board policy, the campus policy, the school, college, or library policy, and the department policy shall have authority in that order. Copies of these documents are available online in the *Faculty Handbook* at the UA web site <http://uark.edu/admin/vcascsey/>

It is the policy of the University of Arkansas, Fayetteville to provide equal employment opportunity to all qualified persons; to prohibit discrimination against any employee or applicant for employment because of race, color, religion, sex, age, national origin, sexual orientation, marital or parental status, veteran's status, or disability, and to promote the full realization of equal employment opportunity through a positive, continuing program of affirmative action.

APPROVALS

 Vice-Chair, College Cabinet	10/20/09 Date
 Dean	10/20/09 Date
 Provost	10/21/09 Date
 Chancellor	10/23/09 Date
 President	11/5/09 Date

J. William Fulbright College of Arts and Sciences

Criteria, Procedures, and Standards for Initial Appointment, Evaluation, Reappointment, Post-Tenure Review, Promotion, and Tenure

Introduction

The J. William Fulbright College of Arts and Sciences seeks excellence in its faculty and programs in accordance with the standards of the larger scholarly community to which it belongs. Faculty and staff of the College are expected to perform their duties according to the standards of their disciplines or professions and in accordance with commonly accepted ethical and professional practices of the larger academic community.

The College seeks to develop and sustain nationally and internationally prominent programs in teaching and research or creative activity. A faculty dedicated to high national standards is essential to this effort. The College's standards for promotion and tenure reflect these high expectations.

Attainment of tenure requires that a high standard for performance be met in research or creative activity, teaching, and service; merely good or satisfactory performance is insufficient to achieve tenure. There must also be a clear indication that such a level of performance will be maintained over a career as a faculty member at the University.

Decisions regarding appointment, evaluation, and promotion of faculty shall reflect the institution's mission, goals, and resources, as well as the quality of performance of all duties associated with a faculty member's appointment. The College fully supports the University's policy to provide equal employment opportunity to all qualified persons; to prohibit discrimination against any employee or applicant for employment because of race, religion, sex, age, national origin, sexual orientation, marital or parental status, veteran's status, or disability, and to promote the full realization of equal employment opportunity through a positive, continuing, program of affirmative action.

Ranks and titles used by the College, including those of non-teaching faculty, are defined by Board of Trustees Policy 405.1 (see also Academic Policy Series 1435.50).

Department Responsibilities

The faculty of each department of the College shall elect a unit committee, the department personnel committee, composed of tenured and/or tenure-track faculty in the department. This committee shall participate in the annual review of each faculty member's performance in accordance with the provisions of the campus personnel document, "Evaluative Criteria, Procedures and General Standards for Initial Appointment, Successive Appointments, Annual and Post-tenure Review, Promotion and Tenure (Revised August 1, 2003)" (hereafter "Evaluative Criteria").

The College maintains a personnel file for each member of the staff holding faculty rank. Each department in the College shall also maintain a personnel file for each member of its faculty. Together, the college and departmental files constitute the official record of each faculty member's employment.

Faculty work assignments are a specific responsibility of the department chairperson. Assignments will be made by the chairperson based on the best interests and needs of the department and the institution as a whole. The chairperson is also responsible for overseeing the post-tenure review process in accordance with the provisions of Section II.C. of "Evaluative Criteria."

Each department shall draft and maintain a current personnel document consistent with the provisions of this document, "Evaluative Criteria," Board of Trustees Policy 405.1, and Academic Policy Series 1405 for approval through campus processes and by the President of the University of Arkansas System. Department personnel documents may reference but shall not duplicate or summarize material in any of the documents referenced here and shall be limited to identification of evaluative criteria and standards specific to the disciplines within the department and any procedures needed to implement the procedures specified in other policies. Department personnel documents may also include statements of vision, mission, and goals consistent with institutional vision, mission, and goal statements. In the event of any conflict between department personnel documents and Board, University, or College policies, the Board, University, or College policies shall take precedence.

Faculty Responsibilities

Members of the faculty are expected to adhere to current university policies relevant to their responsibilities and to meet professional standards in performing their duties. Failure to do so will be reflected in annual merit evaluations.

I. Initial Appointment

Section I of "Evaluative Criteria" describes the campus's criteria and procedures for the initial appointment of all faculty members, and instructs the faculty and chairperson of each department to adopt criteria and procedures for initial appointments appropriate to their discipline and consistent with Board and University policies. These departmental criteria and procedures shall be incorporated in each department's statement of "Criteria, Procedures, and Standards." The chairperson shall consult with the department faculty prior to making a recommendation for initial appointment. As part of this consultation, the chairperson may conduct a non-binding vote of the tenured and tenure-track faculty.

II. Successive Appointments and Annual Review

Section II of "Evaluative Criteria" describes the campus's standards and procedures regarding successive appointments and annual review, and instructs the faculty and chairperson of each department to adopt criteria and procedures for an annual review and

evaluation of the work and status of each member of the department. These criteria and procedures shall be consistent with those described in sections II.A. and II.B. of “Evaluative Criteria.”

The following statements provide specific Fulbright College policies consistent with the campus policy.

A. Weighting of Work Assignments

Faculty members will normally be evaluated on the basis of teaching, research or creative activity, and service with a weighting of 40% for teaching (including advising and thesis/dissertation supervision), 40% for research/creative activity, and 20% for service, regardless of the percent of appointment to each activity. Other weightings may be assigned by the department chairperson with the concurrence of the faculty member and the approval of the dean.

B. Salary Increases

The annual evaluation of each faculty member submitted by her or his department chairperson and personnel committee will include an evaluation of the individual’s performance in each of the areas included in her or his workload assignment (typically research/creative activity, teaching, and service), as well as an overall evaluation of her or his performance during the year. In each performance area, the individual’s performance will be rated according to the following scale: “exceeds expectations,” “meets expectations fully,” “minimally meets expectations,” and “does not meet expectations.”

An overall rating of each individual’s performance shall be made according to the same scale. The overall rating may reflect aspects of an individual’s performance germane to an evaluation of her or his professional responsibilities, but not belonging solely to one or more of the areas included in the workload assignment. This may include an individual’s demonstrated ability to work productively with colleagues in carrying out the research/creative, teaching, and service missions of the department and the College.

The chairperson’s ratings shall be accompanied by an expository statement analyzing each individual’s performance in each area and overall.

Each department’s personnel document shall define the meaning of “exceeds expectations,” “meets expectations fully,” “minimally meets expectations,” and “does not meet expectations” in ways appropriate to its discipline. The dean shall approve these definitions, and they shall be made readily available to the department’s faculty.

With regard to evaluation in the area of teaching, each faculty member must participate in the University’s student evaluation process, although student evaluations will be only one instrument used to measure teaching effectiveness. Refusal to participate in the student evaluation process, or to submit grades according to stated deadlines, will result in a rating of “does not meet expectations” in teaching.

A rating of “does not meet expectations” in any area normally will result in no salary increase for that area of professional responsibility. If salary increases based on merit are available, ratings of “meets expectations fully” and “exceeds expectations” will normally result in average and above average salary increases, respectively. Special salary increases may be granted at the dean’s discretion for extraordinary performance in one or more areas.

Submission of an annual resume update is an integral part of the evaluation process. Failure to submit an annual resume update will result in an overall annual rating of “does not meet expectations.”

With regard to “Post-Tenure Review,” described in section II.C of “Evaluative Criteria,” a rating of “does not meet expectations” (either overall or in any of the three areas of the workload assignment) in two consecutive annual reviews, or in three of five consecutive annual reviews, shall initiate the post-tenure review process.

III. Promotion

Section III of “Evaluative Criteria” describes the university’s standards and procedures regarding promotion, and governs promotions within Fulbright College. (Additional campus documents, “Procedures for University and Distinguished Professorships” and Academic Policy Series 1405.13, describe the review process for appointment to the ranks of University and Distinguished Professor.) The following statements are intended to guide implementation of the campus policies.

1. Letters from outside reviewers (described in III.B.8.g. of “Evaluative Criteria”) will be solicited from impartial persons of significant accomplishment in their disciplines. These persons normally will be affiliated with institutions and/or departments with a national reputation in the candidate’s field. Department chairpersons will include in their letters to potential reviewers statements informing them that the candidate will be given the names of those invited to submit reviews. Chairpersons will also inform potential reviewers that, while every effort will be made to protect the confidentiality of the reviews including a request that the candidate waive the right to see the reviews, the candidate has the right to inspect evaluations submitted as part of the promotion review process.

2. A candidate’s success in the areas of teaching, research/creative activity, and service (see III.A. of “Evaluative Criteria”) depends on the candidate’s demonstrated ability to interact productively with students, as well as to work productively with colleagues in carrying out the research/creative, teaching, and service missions of the department and the College. Evidence of these abilities will be considered in the promotion review process. The grounds for a recommendation against promotion on this basis must be clearly documented, and the candidate must have an adequate opportunity to understand and to respond to such concerns. The College affirms, in this and in all personnel matters, the University’s policy forbidding discrimination on the basis of race, color, sex, creed,

sexual orientation, disability, veteran's status, age, marital or parental status, or national origin.

3. Each candidacy will be reviewed by the College Personnel Committee, which will make a non-binding recommendation to the dean. This Committee is an elected body composed of five members of the College faculty, one from each of the College's three divisions and two at large. Each member serves a term of two years.

No member of the Personnel Committee may participate in a promotion or tenure matter arising from a department in which the member holds an appointment.

4. A written response to a negative recommendation by the College Personnel Committee, along with any request for a hearing with the dean (as provided for in Section III.B.16 of "Evaluative Criteria"), must be received by the dean within five working days of notification of the negative recommendation. A written response to a negative recommendation by the dean, along with any request for a hearing with the dean, must be received by the dean within five working days of notification of the dean's recommendation.

IV. Tenure

Section IV of "Evaluative Criteria" describes the university's standards and procedures regarding the awarding of tenure, including probationary period suspension procedures and policies concerning mandatory tenure reviews and terminal appointments. Sections III.1-6 above apply also to the tenure review process.

In addition to these standards and procedures, a written review of progress toward tenure shall be made of each person on the tenure track no later than the end of the third year of the candidate's probationary period. This third-year review shall be made on the basis of a review of annual evaluations and an interview with the candidate, and may include other relevant material such as a report of an observation of the candidate's teaching or a review of the candidate's scholarship to date by an external evaluator. The candidate's department chair, or an appropriate designee within the department, shall produce the third-year review for the candidate's file, and a copy shall be given to the candidate and to the dean.

Suspension of the probationary period shall be granted in accordance with the provisions of section IV.C of "Evaluative Criteria."

V. Dismissal

Dismissal proceedings shall be conducted in accordance with the provisions of Section V of "Evaluative Criteria."

[Approved by the Faculty, October 15, 2009]