

Personnel Document on Evaluative Criteria, Procedures, and General Standards for Initial Appointment, Successive Appointments, Promotion, Tenure, and Annual Review of Faculty and Appointment and Annual Review of Professional Staff

Department of Sociology

Fulbright College of Arts and Sciences

University of Arkansas

This document governs departmental procedures in the selection, retention, promotion, granting of tenure to and evaluation of faculty and in the selection and evaluation of non-classified staff, effective August 19, 1996. It has been approved by the faculty and chairperson of the department, the Dean of Fulbright College, the Vice Chancellor for Academic Affairs, the Chancellor, and the President of the University of Arkansas, as indicated by the signatures below.

These department policies are required to be consistent with and complementary to policies and procedures of the College as set forth in the Fulbright College's *Evaluative Criteria, Procedures, and General Standards for Initial Appointment, Successive Appointments, Promotion, Tenure and Annual Review of Faculty and Appointment and Annual Review of Professional Staff*; those of the institution, as set forth in three campus policy statements, those on (1) *University Professorships*, (2) *Distinguished Professorships*, and (3) *Evaluative Criteria, Procedures, and General Standards for Initial Appointment, Successive Appointment, Promotion and Tenure*; and a Board of Trustees Policy, 405.1. In case of conflict, the Board Policy, the campus policy, the College policy and the department policy will have authority in that order. Copies of the campus and board policy documents are published annually in the *Faculty Handbook*, but revisions occur regularly and care should be taken to consult the current document. A copy of the current *Faculty Review Checklist* is also printed in the Faculty Handbook.

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Patricia R. Koski, Chair, Department of Sociology

Bernard L. Madison, Dean, Fulbright College

Donald O. Pederson, Vice Chancellor for Academic Affairs

Daniel E. Ferritor, Chancellor

B. Alan Sugg, President

Department of Sociology
University of Arkansas
Evaluative Criteria, Procedures, and General Standards
for Initial Appointment, Successive Appointments,
Promotion and Tenure

These criteria, procedures and general standards developed by the Department of Sociology are consistent with those adopted by the faculty of Fulbright College of Arts and Sciences on April 17, 1990, in the document, *Personnel Document on Evaluative Criteria, Procedures, and General Standards for Initial Appointment, Successive Appointment, Promotion, Tenure, and Annual Review of Faculty and Professional Staff*, hereafter referred to as the Fulbright College Personnel Document. In some cases, the department has modified certain dates but these modifications always provide for earlier notification to affected faculty members.

I. Qualifications Standards and Criteria for Appointments

A. Qualification for initial appointments of Sociology and Criminal Justice faculty.

1. For the rank of Lecturer, a Master's degree is normally expected and experience in teaching the specific courses for which a vacancy exists. For Criminal Justice faculty, professional certification in the area of instruction may be considered sufficient.
21. For the rank of Instructor and for temporary appointments, a Master's degree is required. Alternatively, for Criminal Justice faculty, professional certification in the area of instruction may be considered sufficient for a temporary appointment.
32. For Assistant Professor, the Ph.D. is required with specialized graduate level training in the specialty for which the vacancy exists and evidence of potential for excellence in teaching and for establishing a significant scholarly/research program.
43. For Associate Professor, the Ph.D. degree, relevant training and a record of excellence in teaching as well as an established program of research, and a record of publication are required.
54. For Professor, the Ph.D. degree, relevant training, with a record of excellence in teaching, an established program of research, a record of publication, and national recognition as a scholar are required.
65. For Adjunct Assistant Professor, Adjunct Associate, and Adjunct Professor, the general criteria are the same as the standards for appointment to the corresponding professional rank without the prefix of "Adjunct." In special cases a person who is ABD, or for the Criminal Justice program, a Juris Doctorate with specialized experience may be substituted for the Ph.D. degree. Adjunct positions are unpaid.
76. For Visiting Assistant Professor, Visiting Associate, and Visiting Professor, the general criteria are the same as the standards for appointment to the corresponding professional rank without the prefix of "Visiting." In special cases a person who is ABD, or for the Criminal Justice program, a

Juris Doctorate with specialized experience may be substituted for the Ph.D. degree.

Other ranks are described in the Fulbright College Personnel Document.

B. Qualifications for initial appointments of Social Work faculty.

The MSW from a Graduate School of Social Work accredited by the Council on Social Work Education and current licensure and two years post-MSW practice experience is required for all ranks. The following are the minimum qualifications for initial appointments to specific ranks.

1. For the rank of Lecturer, a minimum of a Bachelor's degree, specialized experience, and current social work licensure.
21. For the rank of Instructor and for temporary appointments, an MSW degree, current social work licensure, and two years practice experience are required. Alternatively, professional certification in the area of instruction, or in special cases, a Bachelor's degree with specialized experience may be considered sufficient for a temporary appointment.
3. For the rank of Assistant Professor, a doctorate, and a minimum of two years post MSW practice experience in social work and eligibility for Arkansas social work licensure are required. AAn MSW degree with previous teaching experience (two years or more), extensive practice experience in increasingly responsible positions, evidence of scholarly potential and a strong record of community service may, in certain cases,, in certain cases, be accepted be accepted with departmental approval. Preference will be given to candidates with doctoral degrees in social work with two years post-MSW practice experience.
3. For the rank of Associate Professor, a doctorate in Social Work, a minimum of two years post MSW practice experience in social work and eligibility for Arkansas social work licensure, a record of excellence in teaching, solid evidence of scholarship, including a record of publications and community service are required.
4. For the rank of Professor, the same qualifications as those for associate professor with the additional criterion of strong national recognition of scholarly work are required.
5. For Adjunct appointments, a minimum of a bachelor's degree in Social Work and a current social work license with at least two years' practice experience is required. Adjunct positions are unpaid.
6. For Visiting Assistant Professor, Visiting Associate, and Visiting Professor, the general criteria are the same as the standards for appointment to the corresponding professional social work rank without the prefix of "Visiting." In special cases a Master's degree with specialized experience may be substituted for the Ph.D. degree.

Other ranks are described in the Fulbright College Personnel Document.

C. Procedures for selection of tenure-track faculty.

The Chair will appoint a search committee to conduct a nation-wide search for all positions in the department. After the closing date of the search, the search committee will review all applications and will provide the Chair with the names of the top candidates, rank ordered. With the advice and consent of eligible voting faculty, the candidate(s) may receive an on-campus interview. Following the interview(s), the

eligible voting faculty will vote on the candidates, and the candidate receiving the largest number of votes will be recommended for the position. The chair will forward this recommendation of appointment to the Dean of Fulbright College. The initial appointment will usually be at the assistant professor level, although exceptions may be made with the consent of the eligible voting faculty and the dean. If the initial appointment is contingent upon receiving the Ph.D. and the candidate fails to complete the degree at the time of appointment, then the candidate will be appointed at the rank of instructor and will receive the salary commensurate with an instructor rank

II. Reappointment Recommendations and Annual Review of Tenured and Tenure-track Faculty

In 1974, the Department of Sociology developed a set of guidelines for the yearly merit evaluation of its entire faculty and the reappointment of its non-tenured tenure-track faculty. The guidelines were revised twice and were found to provide a workable system for our faculty to demonstrate their competence in the areas of teaching, research, and public service. In 1979, the Fulbright College of Arts and Sciences developed a College-wide standardized format for the yearly evaluation of its faculty. This system, revised in 1980, 1981 and 1983 was consistent with prior departmental procedures and was adopted by the faculty on August 31, 1983. Following are the criteria and procedures used by the Department of Sociology as a major source of data for salary recommendations.

A. Criteria

Each sociology faculty member is evaluated on the basis of achievement in the areas of a) teaching, b) scholarly activities, and c) service.

1. The primary overall criterion used to evaluate teaching is high standards of course content and teaching excellence as reflected in student and peer evaluations. For annual evaluations and reappointment reviews, faculty members will be required to provide a syllabus and course evaluations for each course taught during the review period. Additional materials may include:

- a. Supervision of graduate teaching assistants.
- b. Teaching materials such as course outlines, examinations, and supplementary materials.
- c. Evidence of effectiveness in direction of research of undergraduate and graduate students.
- d. Evidence of participation in written and oral examinations for honors or graduate degree candidates.
- e. Program development activities.
- f. New course development and acceptance.
- g. Course innovations for which evaluation data are systematically collected.
- h. Student success in related courses, research competition, and later careers.
- i. Research and research publications on teaching and program effectiveness.
- j. Special efforts to involve students in research, practice, or other projects outside of class.
- k. Unusually heavy course or student load.
- l. Conscientious work with students in individual studies projects.
- m. Advanced course work taken to improve/update teaching skills.

2. Scholarly and research activities may include, among other items:

- a. Publications of papers, books, and similar items.
- b. Evidence of research, either funded or unfunded.
- c. Evidence of awards, including funding of research proposals by external agencies after competitive review.
- d. Papers presented at professional meetings and seminars.
- e. Technical reports on research projects completed or in progress.
- f. Evidence of professional recognition by outside agencies, groups, or other individuals in the field.
- g. Peer evaluations.
- h. Self evaluations.
- i. Research proposals submitted for outside funding.
- j. Advanced course work taken to improve/update research skills.
- k. Alternative forms of scholarship such as films, videos, computer software and performances involving scholarship.

It should be noted that the criteria are not simply meant to be quantitative counts of a faculty member's work. In addition, the evaluation of publications would include such qualitative features as the reputation of the journal or publisher, the nature of reviews, if any, and the estimate of quality by neutral outside referees. Papers presented at professional meetings are judged according to the type of meeting; presentation at national meetings are the most competitive and prestigious.

Grants funded by agencies with the most stringent peer reviews, such as NSF, receive special consideration.

3. Evidence of service may include, among other items:

- a. Evidence of activities intended to enhance public understanding of the University or activities intended to develop the service function of the University.
- b. Evidence of involvement in the work of professional societies.
- c. Editing, reviewing, refereeing for professional publications.
- d. Evidence of committee activities at the University.
- e. Evidence of participation in activities in connection with funding agencies.
- f. Evidence of service to the public through consulting or other activities in the area of academic or professional competence.
- g. Developing/presenting workshops to upgrade the quality of community professionals.
- h. Peer evaluations.
- i. Self evaluations.
- j. Board membership for local/state/national human service or other professional related agencies.

Detailed criteria for teaching, research and service are defined in the Sociology Merit Document.

B. Procedures for Reappointment Recommendations

1. The responsibility for the initiation of evaluation procedures for each faculty member (and for the initiation of recommendations for reappointment of each non-tenured faculty member) lies with the

Chairperson. If a faculty member's appointment is contingent upon completion of the Ph.D. but the degree is not completed prior to the start of employment, reappointment may be denied. The Chairperson makes recommendations regarding reappointment of a non-tenured faculty member only after consultation with the elected personnel committee. The composition and terms of the committee are described below in 3a.

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2. Before submitting his or her recommendation to the dean the Chairperson shall meet with the faculty member to discuss the recommendation. A copy of the summary of the discussion and a copy of the Chairperson's recommendation to the dean and of the committee's recommendation is provided to the faculty member by the Chairperson. Any written response to the summary by the faculty member shall also be included in the faculty member's file. The faculty member may also send a copy of this response to the dean.

3. For all faculty in their first three years of tenure-track appointments, additional evaluations are made. The review in the third year will be used to determine if the faculty member is making adequate progress towards tenure.

a. A Personnel Committee is elected annually, early in the Fall semester, by secret ballot of eligible voting faculty. Tenured and tenure-track faculty who have completed the third year review are eligible to serve on the Committee but the Chair shall be tenured. Faculty in each program (sociology, social work, and criminal justice) will elect one representative to the Committee from a list of eligible faculty. Faculty in all programs will elect the Chair of the Committee from a list of tenured faculty. If an individual is elected as Chair and as a program representative, that person will serve as the Committee Chair and the person receiving the second highest vote from the program will represent the program on the Committee.

b. The Chairperson and Personnel Committee ask all first, second and third year faculty to submit information following the Faculty Review Checklist. The Committee reviews these documents, individually and collectively, and makes its recommendation for reappointment to the Chairperson. These documents are also available for review by the tenured faculty members before they vote on the Committee's recommendation.

c. Tenured members of the department are informed in writing of the decision of the Personnel Committee, and are given a ballot on which to indicate approval or disapproval of the Personnel Committee's decision. Each ballot is returned in a plain sealed envelope to the Chairperson. A simple majority vote is required for a positive faculty recommendation.

d. The Chairperson considers the decisions of the Personnel Committee and of the members of the Department. The Chairperson will incorporate the faculty recommendation into his or her recommendation to the Dean unless there is a significant, unresolved difference of opinion, in which case both recommendations may be submitted.

e. Appeals of the Chair's evaluations are to be made to the Department of Sociology's Personnel Committee. If unresolved at the department level, the appeal can be made to the Dean within ten working days after the deadline for submission of the forms to the College.

C. Procedures for Annual Review

In 1979 the Fulbright College of Arts and Sciences developed a College-wide standardized format for the yearly evaluation of faculty. This system was consistent with departmental procedures and was adopted by this faculty on August 23, 1983. The criteria used by the Department of Sociology yearly to evaluate its faculty are the same as those set forth in Section II.A. of this document, "Reappointment" and follows the guidelines in the Fulbright College Personnel Document under Section C, "Annual Review of Faculty and Salary Increases."

The annual review of faculty for salary increase recommendations shall begin on or before January 15th each year. Each faculty member is to submit a review packet which includes an annual faculty resume update, a self evaluation and evidence

demonstrating the criteria defined in II. A. 1, 2, and 3. Peer evaluations of these materials will be made by the department's personnel committee using the criteria set forth in the Department of Sociology and Fulbright College's Personnel Documents. The packet, along with the recommendations by the personnel committee, will be used by the chair to determine merit ratings in the areas of teaching, research and service.

Each faculty member will be asked to sign a statement either accepting or rejecting the annual evaluation. If the evaluation is rejected, the faculty member will have the opportunity to state in writing the reason(s) for rejection. This form will be forwarded to the dean with the person's annual resume update and the Chair's evaluation. The Chairperson shall meet with each faculty member to discuss the recommendation before forwarding it to the Dean. The chair will use these evaluations to recommend priorities to the faculty member in future years and to determine work assignments. A record of annual evaluation conferences with the chair shall be kept and the faculty member will be given a summary of significant conference content. The faculty will be given the opportunity to challenge any aspect of the conference record. Appeals of the chair's evaluations are to be made to the elected members of the Department of Sociology's Personnel Committee. If unresolved at the department level, the appeal can be made to the Dean within ten working days after the deadline for submission of the forms to the College. All information pertaining to the annual review, conferences, and the like shall be kept in the faculty member's personnel file.

III. Promotion.

Promotion is based primarily upon the accomplishments of the individual while in the most recent rank. Promotion is a distinct honor and is not based upon length of service. No minimum time in rank is required before a faculty member is eligible for promotion.

A. Criteria

Each faculty member who is being considered for promotion shall be evaluated on the basis of achievement in the areas of a) teaching, b) scholarly activities and c) academically related service. While these criteria for recommending promotions are the same as the criteria for reappointment contained in Section II.A. above, the relative emphasis and the levels of achievement differ and follow the criteria for initial appointment contained in I.A and I.B. Specifically, promotion recommendations require a higher level of professional activity in the areas of teaching and research. Outstanding performance in both teaching and research are required before a recommendation to promote can be made. This standard is not meant to denigrate the importance of academically related service but rather to emphasize the role of teaching and research as the keystones of the department's mission.

B. Procedures

1. No later than 30 days after beginning employment in connection with a first permanent full-time appointment, each faculty member shall be advised in writing by the Chairperson of the criteria, procedures, and instruments that are to be used in

assessing future work for promotion consideration.

2. The performance of each faculty member shall be reviewed annually by his or her Chairperson. A comprehensive cumulative record of annual review forms and summaries of annual discussions with Chairpersons shall be maintained and shall be made available to the faculty member upon his or her request.

3. The Chairperson shall ask each individual nominated for promotion to submit information following the Faculty Review Checklist and any other material the nominee feels will facilitate consideration of his or her competence and performance. The Chair will solicit evaluation letters of the candidate's record from three outside referees according to the guidelines set forth in the College document. The referees' responses will be part of the material evaluated at the departmental level and will be forwarded to the dean and to the College Personnel Committee. All referees must be respected members of the faculty members' research/professional community. All material will be given to the departmental Personnel Committee described in Section II.B.3.a, above.

The following procedures are followed by the department for promotions:

- a. The Personnel Committee receives all the documents submitted by the candidate and three outside evaluators. The Committee reviews these documents, individually and collectively, and makes its recommendation to the Chairperson. These documents are made available to the tenured members of the department.
- b. The tenured members of the department are informed in writing of the decision of the Personnel Committee, and are given a ballot on which to indicate approval or disapproval of the Personnel Committee's decision. Each ballot is returned in a plain sealed envelope to the Chairperson. A two-thirds majority vote is required to be considered a positive recommendation.
- c. The Chairperson evaluates the decisions of the Personnel Committee and of the tenured members of the department. The Chairperson then makes his or her recommendation of the candidate's case for promotion, and provides the appropriate documentation. The Chairperson's recommendation along with that of the Personnel Committee and the tenured faculty is forwarded to the Dean of Fulbright College.

The Chairperson shall inform the nominee of the decisions of the Personnel Committee and of the tenured faculty. The nominee shall also be informed of the recommendation the Chairperson will make, both for positive recommendations (i.e., to promote) and for negative recommendations (i.e., not to promote).

4. Prior to the time the Chairperson forwards the nomination to the dean, the faculty member may withdraw from further consideration or appeal the Chairperson's decision. Appeal of the Chairperson's recommendation is to be made to the elected members of the Department of Sociology's Personnel Committee. If unresolved on the departmental level, the appeal can be made to the Dean within ten working days after the deadline for submission of documents to the College. If the candidate chooses to withdraw, such withdrawal shall be in writing to the Chairperson.

5. Each nomination shall be forwarded to the dean in writing by the specified deadline and shall be accompanied by the Chairperson's recommendation, all materials provided to the Chairperson by the faculty member, and all other materials evaluated by the Chairperson. Any recommendation shall also be accompanied by a written statement of the Chairperson's rationale for the recommendation. A copy of the Chairperson's recommendation shall be given to the faculty member.

6. After the departmental recommendations are sent to the dean, the nominee's materials receive further review at the College and university level. The regulations, criteria, and appeal procedures

are outlined in the approved campus policy. The Chairperson shall review these procedures with the faculty member at the time the nomination materials are sent forward.

IV. Tenure

A. Criteria

Tenure is a long-term commitment by the department, College and university to a faculty member and is of fundamental importance. Although the general criteria used for promotion forms the basis of tenure review, the potential for future contributions to research, teaching and service is the central criterion in this decision.

B. Procedures

The procedures for the granting of tenure are the same as the procedures for promotion contained in Section III. B.

V. Non Tenure-Track Faculty Temporary Faculty

A. Procedures for the selection and appointment of non tenure-track faculty.

The chair shall notify the faculty of all recommendations for the appointment of non tenure-track temporary faculty in a timely manner. Eligible voting faculty will be given the opportunity to indicate acceptance or rejection of the appointment by ballot

B. Evaluation of temporary faculty

The criteria for the evaluation of non tenure-track temporary faculty shall be determined at the time of hiring. Normally, temporary faculty will be evaluated only for teaching performance, following normal review procedures. Non tenure-track faculty will not be assessed in terms of the same quantitative criteria and procedures as used for tenured and tenure-track faculty. but will be given an appropriate qualitative assessment by either the chair or principal investigator

Temporary faculty will not be required to submit an annual resume update. However, temporary teaching faculty will be required to submit a course syllabus and evaluations for each course taught.

Temporary faculty will be expected to sign a statement accepting or rejecting the evaluation. If the evaluation is rejected, the temporary faculty has the right to indicate the reason(s) for disagreement. The evaluations and the statement of acceptance or rejection will be forwarded to the dean. All information shall be kept in the faculty member's personnel file.

