

Personnel Document
on
Evaluative Criteria, Procedures, and General Standards
for
Initial Appointment, Successive Appointments, Promotion, and Tenure,
and Annual Review of Faculty
and
Appointment and Annual Review of Professional Staff
Department of Physics
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 July 1, 1996. It has been approved by the faculty and chairperson of the department and approved by 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, 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*.

Chair, Department of Physics

Dean, Fulbright College

Vice Chancellor for Academic Affairs

Chancellor

President

PERSONNEL DOCUMENT
FOR
DEPARTMENT OF PHYSICS

PREAMBLE

The faculty of the department of physics recognizes that individual achievements in physics research, education and service including administrative duties shall be measured against the general guidelines established by the Department, the College, the Campus, and the Board of Trustees for promotion and tenure consideration and for merit salary increase. Such achievements shall be evidenced by the publication of refereed papers and books, invited lectures, and other presentations, the development of educational materials of an innovative nature, the development and implementation of new physics programs or curricula, outstanding classroom performance, and the effective administration of local, regional or national physics programs. The physics faculty emphasizes the responsibility of its members also to provide leadership in the areas of community service, public education, and university governance. In addition to service in the scholarly activities of the department, each is to assume personal responsibility for an equitable share of the department's other responsibilities. Furthermore, the faculty recognizes that the solicitation of financial support external to the University for individual and departmental research and educational activities is a continuing obligation of each of its members.

Appended as Appendix I (Professional Activities Checklist) are a series of specific items consistent with the guidelines above which will be considered as evidence in evaluation of faculty. The departmental criteria for recommendation of initial appointment, annual review, reappointment, promotion, and tenure follow. Only in exceptional circumstances documented by national or international recognition will recommendations for initial appointment, promotion, or tenure be made which do not follow the guidelines, the items for evaluation of the guidelines, or the following criteria.

I. CRITERIA AND PROCEDURES FOR INITIAL APPOINTMENTS

A. Criteria for Initial Appointments.

Lecturer • Master's degree or equivalent post-graduate study.

- Evidence of potential for excellence in teaching.

Instructor • Master's degree or equivalent post-graduate study.

- Evidence of potential for excellence in teaching.
- Evidence of continuing professional and scholarly interest in physics.

Assistant

Professor • The Ph.D. or equivalent degree in Physics or in a closely related area.

- Clear evidence of potential for excellence in teaching.
- Clear evidence of strong potential for a significant program of scholarly activity and research.

Associate

Professor • The Ph.D. or equivalent degree in Physics or in a closely related area.

- Demonstrated excellence in teaching.
- Publications or creative work of high quality to indicate the beginning of a significant scholarly research career.

Professor • The Ph.D. or equivalent degree in Physics or in a closely related area.

- Demonstrated excellence in teaching at all appropriate levels.
- Publications or creative work of high quality bringing the faculty member wide recognition in his/her specialty.

Criteria for initial appointments in other ranks are described in the Fulbright College Personnel Document.

B. Procedures for Initial Appointments.

Recommendation for appointments in the regular faculty ranks (Assistant Professor, Associate Professor, and Professor) will be made by the majority vote of the tenure-track and tenured faculty. While most of the initial appointments will be tenure-track appointments, on rare occasions it may be necessary to appoint a person with tenure. The recommendation for granting of tenure will be decided by a majority vote of the tenured faculty.

Recommendation for appointment of professional staff will also be made by the majority vote of the tenure-track and tenured faculty.

The Chair of the Department will be responsible for reporting the recommendation to the Dean and subsequent negotiations with the candidate and the Dean.

II. CRITERIA AND PROCEDURES FOR ANNUAL PERFORMANCE

REVIEW AND RECOMMENDATION FOR REAPPOINTMENT.

A. Criteria for Performance Review and Reappointment Recommendation.

Annual evaluation of performance and recommendation for reappointment will be based on performance in research, teaching, and service. The performance in these areas will be evaluated against the Professional Activities Checklist (Appendix I). Student and peer evaluations will be essential parts of the teaching performance evaluation. Normally, research and teaching will be weighed more heavily than service.

Satisfactory progress toward positive recommendation for tenure is required for reappointment recommendation.

B. Procedures

1. Annual Review

As required by University Policy the performance of each faculty member will be reviewed annually by the Chair and the departmental personnel committee working together. The purpose of the review is to compare individual activities with those identified by the faculty as necessary for

fulfilling the mission of the Department in the areas of teaching, research, and service. Each faculty member will present information organized to the extent possible in the form of the Professional Activities checklist (Appendix I) to the Chair for use in this review.

The personnel committee will consist of three faculty members elected by the faculty at large for staggered two-year terms, and as long as possible while remaining consistent with subsequent stipulations, shall consist of two tenured faculty members and one non-tenured faculty member. After a personnel committee member finishes his/her term he/she will be ineligible to serve again for two years. The personnel committee elects its own chair.

The Chair will discuss the evaluation with each faculty member. The dates of each meeting and unresolved disagreements will be recorded.

A faculty member has the right to appeal his/her performance evaluation. The first appeal must be to the department Chair. If satisfaction cannot be obtained, the appellant may request within five (5) days the formation of an ad hoc appeals committee consisting of three faculty members selected as follows: the appellant chooses one member, the department Chair then chooses a second member, and finally the personnel committee selects a third member. The appellant has the right to veto one and only one of the latter two, in which case whoever made the vetoed appointment will select a replacement. The appeals committee will elect its own chair. The appellant must present the appeals committee with the same information presented to the Chair in the prior appeal, neither more nor less.

If new information is to be submitted, a new appeal must be made first to the Chair. The appeals committee will make a decision within five (5) working days. If the appeals committee changes the ruling of the Chair, the committee must justify its decision. If agreement cannot be reached at the departmental level, further appeal can be made in accordance with the College personnel document.

The annual evaluation and appeal, if any, for professional staff will be handled in exactly the same manner as for the faculty.

2. Reappointment

The tenured faculty will meet annually to consider recommendation for reappointment of the non-tenured faculty. Each non-tenured faculty member will be evaluated only by tenured faculty of the same or higher rank. The consideration is made in sufficient time to follow the dates of notification

and procedures that are listed in approved College and University policy. Each individual being considered is notified in writing by the department Chair of the recommendation of the tenured faculty. In the event of a recommendation for non-reappointment, the person involved may, if that person so desires, appeal to the faculty body that made the original decision. If agreement cannot be reached at the departmental level, the person can request an interview in accord with the College Personnel document.

A pre-tenure review will be done in the third year as specified in the College document.

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III. CRITERIA AND PROCEDURES FOR PROMOTION AND TENURE

A. Criteria for Promotion

The criteria for promotion to each rank are the same as those for the initial appointment. The performance and achievements of the faculty member who is being considered for promotion will be evaluated in the areas of research, teaching and service. The Professional Activities checklist (Appendix I) provides a listing of specific items on which the faculty member will be asked to report. However, the faculty member is required to supply complete information as specified in the Faculty Review Checklist in the *Faculty Handbook*. Excellence in research and teaching is required for promotion.

B. Criteria for Tenure

Criteria for tenure are essentially the same as those for promotion (see Sec. III A above) except, the tenure decision will be based not only on the past performance and achievements, but also on the clear evidence that such performance and achievements will continue over the professional life of the faculty member.

C. Procedure for Promotion and Tenure Recommendation

(i) Promotion to Professor.

The procedure for recommending individuals for promotion is as follows: Tenured Professors in the department will meet as an ad hoc committee (with the committee electing its chair) to consider the credentials of the Associate Professors being considered for promotion to Professor. The department Chair will require each individual being considered to submit information following the Faculty Review Checklist. Evaluation letters from three outside distinguished scholars will be solicited by the Chair. The procedure used to select the evaluators will conform to that described in the Fulbright College guidelines for promotion and tenure. The candidate's self-prepared

review form, letters of evaluation, and any other supporting document submitted in behalf of the candidacy by the candidate or physics faculty shall constitute the candidate's promotion file. The ad hoc committee will review the promotion file of each candidate following the criteria for promotion (Sec. III A above). When an individual is recommended for promotion by a simple majority vote, the committee will prepare a recommendation memorandum to the Dean signed by those approving the recommendation. The memorandum will be sent to the Chair to transmit to the Dean along with the promotion file and a letter of evaluation from the Chair. The department Chair will give the candidate a copy of the committee's report as well as the Chair's own evaluation.

(ii) Promotion to Other Ranks, Tenure Procedures

The procedure for recommendation for promotion to the ranks of Assistant Professor, Associate Professor, or for the granting of tenure will be the same as above except the committee will be composed of all tenured faculty members of superior rank to that of the individual.

(iii) Appeals

A faculty member has the right to appeal a decision on promotion and/or tenure recommendation to the faculty body that made the original decision. This appeal must be made within two working days of the receipt of the decision by the candidate. The faculty body then has two working days to act on the appeal.

D. Recommendation for Appointments to the Positions of University Professor, Distinguished Professor, and Award of Emeritus Status.

The criteria for appointments to the positions of University Professor, Distinguished Professor, and award of Emeritus status are described in the Fulbright College Personnel Document.

The procedure for recommendation for appointment to the position of University Professor is initiated by receipt of a letter of nomination to the Chair from a Physics faculty member at the University of Arkansas, Fayetteville. The nominating faculty member with the assistance of the nominee will prepare a file for presentation to the whole physics faculty for its consideration and recommendation. If the faculty approves this recommendation, the Chair will forward this recommendation to the Dean.

The procedure for recommendation for appointment to the position of Distinguished Professor is initiated by receipt of a letter of nomination to the Chair. This nomination

will be presented to the entire physics faculty along with supporting documents for its consideration and recommendation. If the faculty approves, the Chair will forward the recommendation to the Dean.

The procedure for recommendation for awarding Emeritus status is initiated by the recommendation of an ad hoc committee composed of the whole faculty. If the recommendation is positive, the Chair will forward it to the Dean.

APPENDIX I

PROFESSIONAL ACTIVITIES CHECKLIST

(To be used in conjunction with Faculty Review Checklist in the *Faculty Handbook*.)

Professional activities that are considered relevant in evaluation of performance, and recommendation for reappointment, promotion, and tenure include the following:

I. Teaching Activities

A. Courses taught, including evidence of high standards in course content and assessment of student learning, and student and peer evaluations

B. Direction of M.A. projects, M.S. theses, Ph.D. dissertations, and post-doctoral fellows

C. Direction of undergraduate research projects, honors projects, etc.

D. Development of new courses, laboratories or programs or classroom materials

E. Student advising

F. Outside recognition*

II. Research and Scholarly Activities†

A. Journal article publications.

B. Book publications.

C. Presentation of lectures and papers.

D. Research in progress.

E. Proposal submissions.

F. Grant/contract reception.

G. Outside recognition*.

III. Service Activities

A. University of Arkansas committee work and other service activities (University, College, Departmental).

B. Professionally related Community or other Public Service (e.g., journal or proposal refereeing, book reviews, conference program committees, etc.).

C. Outside recognition*.

* (1) Awards and Honors Received

(2) Memberships and Office in Professional and Honorary Organizations and Committees

(3) Adjunct appointments, lectureships, editorial posts, etc.

† Scholarly activity is to be interpreted broadly to include nationally recognized educational research