

# **PERSONNEL DOCUMENT**

**J. WILLIAM FULBRIGHT COLLEGE OF ARTS AND SCIENCES  
University of Arkansas**

Approved by the College Cabinet: 12/6/2019

Approved by the Faculty: 12/18/2019

Personnel Document  
On Evaluative Criteria, Procedures and General Standards  
for  
Initial Appointment, Successive Appointments,  
Annual and Post-tenure Review,  
Promotion and Tenure

University of Arkansas  
J. William Fulbright College of Arts and Sciences

This document governs the 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 as of the date of the President’s approval. It has been approved by the faculty of the 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 two campus policy statements: (1) Evaluative Criteria, Procedures and General Standards for Initial Appointment, Successive Appointments, Annual and Post-tenure Review, Promotion and Tenure, and (2) Guidelines for University and Distinguished Professor Appointments. 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, as referenced in the *Faculty Handbook*, at the UofA web site <https://provost.uark.edu/faculty-handbook>.

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**

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Dean	Date
_____	_____
Provost	Date
_____	_____
Chancellor	Date
_____	_____
President	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 the 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 Peer Review Committee and a Unit Personnel Committee. The Unit Peer Review Committee shall conduct the annual peer review of each full-time faculty member at the assistant professor or higher rank. The Unit Personnel Committee evaluates candidates for purposes of promotion and tenure. Departments may choose to have the Unit Personnel Committee also serve as the Unit Peer Review Committee (Evaluative Criteria, Procedures and General Standards for Initial Performance Appointment, Successive Appointments, Annual and Post-tenure Review, Promotion, and Tenure, Revised April 13, 2019) (hereafter APS 1405.11).

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. The academic department files constitute the official record for 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 III.E of APS 1405.11.

Each department shall draft and maintain a current personnel document consistent with the provisions of this document, Board of Trustees Policy 405.1, and APS 1405.11 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 the 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. A faculty member shall not participate in consideration of promotion or tenure matters or evaluations in which the faculty member has a conflict of interest. Unless recused due to a conflict of interest, all eligible faculty members must participate in promotion and tenure discussions and votes (APS IV. B.12.g).

**I. Committees: Responsibilities and Service** Section I of APS 1405.11 describes the composition and responsibilities of the Unit Peer Review Committee, the Unit Tenured Faculty, the Unit Promoted Faculty, the Unit Personnel Committee, the College Promotion and Tenure Committee, and the University Appointment, Promotion, and Tenure Committee.

It is the policy of the Fulbright College of Arts and Sciences that the faculty occupying administrative positions who do not serve in the appointment, promotion, or tenure recommendation chain above the unit level are allowed to participate and exercise their voting rights on the Unit Tenured Committee or Promoted Faculty Committee.

Section IV. B. 12.a. of APS 1405.11 stipulates that department heads or chairs are ineligible to vote in the selection of the Unit Personnel Committee unless specifically allowed by the college policy document. It is the policy of the Fulbright College of Arts and Sciences that department chairs are allowed to cast their vote in the selection of the Peer Review Committee and the Unit Personnel Committee.

Section IV. B. 12.d. of APS 1405.11 stipulates that members of the Unit Personnel Committee, i.e., the departmental committee that evaluates candidates for purposes of promotion and tenure, shall not vote on any candidate for a rank higher than the committee member's rank, except that tenured and tenure-track professors shall be allowed to vote on candidates for University Professor and Distinguished Professor.

## **II. Initial Appointment**

Section II of APS 1405.11 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, including Academic Policy 1435.50. Section II of APS 1405.11 also describes types of academic titles and the typical length of appointment for non-tenure-track faculty. Departmental criteria and procedures for initial appointment must be approved by the Dean, the Provost and Executive Vice Chancellor for Academic Affairs (hereafter referred to as Provost), the Chancellor and the President, and shall be incorporated in each department's statement of "Criteria, Procedures, and Standards."

### **A. Criteria for Initial Appointment at or Below the Rank of Assistant Professor**

In addition to II.A. of APS 1405.11, 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.

### **B. Criteria for Initial Appointment at or Above the Rank of Associate Professor**

The college adopts II.B. of APS 1405.11. In addition, it is the policy of the Fulbright College of Arts and Sciences that consideration for initial appointment at a rank at or above associate professor requires a vote and letter of rationale from the College Promotion and Tenure Committee, which will be considered in the appointment determination.

### **C. Criteria for Initial Appointment with Tenure**

The college adopts II.C. of APS 1405.11. In addition, it is the policy of the Fulbright College of Arts and Sciences that consideration for granting of tenure requires a vote and letter of rationale from the College Promotion and Tenure Committee, which will be considered in the tenure recommendation.

### **D. Initial and Successive Appointments of Non-Tenure-Track Faculty**

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The college adopts II.D. and II.B. of APS 1405.11.

Non-tenure track faculty are generally on appointments not to exceed one academic year. In some instances, multi-year appointments may be extended to instructors or non-tenure track faculty in professor ranks. Such appointments are generally intended for faculty hired in competitive searches or who have established a notable and consistently strong record of effective performance during their period of service to the University.

Multi-year appointments, to the extent they are utilized, must have satisfied a merit-based review process employing evaluative criteria and procedures established in this personnel document as supplemented in departmental personnel documents. These appointments require the review and

recommendation of the departmental personnel committee and the department chair/head, and the approval of the Dean and the Provost. The first such merit-based appointment would usually be up to three years. If successfully completed, in accordance with the evaluation procedure set out herein, an initial merit-based term appointment may be considered for renewal for an additional appointment of up to three years. After successful completion of a second three-year term (or after a total of six years of appointment), appointments may be considered for renewal for faculty in professor ranks for periods of up to five years.

Any merit-based term appointment of more than one year shall only be recommended when the candidate has consistently demonstrated (or, for initial appointment, shown clear potential for) highly effective teaching and/or, as appropriate to the appointment, a record of highly effective research or service/administration, as well as the ability and willingness to work productively with colleagues.

See APS 1405.11 for detailed procedures.

#### E. Required Notification

The college adopts II.E. of APS 1405.11.

### **III. Successive Appointments, Annual Review, Peer Review, and Post-Tenure Review**

Section III of APS 1405.11 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 III.A. through III.F. of APS 1405.11.

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

#### **A. Weighting of Workload 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. Other weightings may be assigned by the department chairperson with the concurrence of the faculty member and the approval of the Dean.

#### **B. Annual Review of All Faculty**

As part of the annual review described in III.B. of APS 1405.11, the annual evaluation of each faculty member submitted by their department chairperson and personnel committee will include an evaluation of the individual's performance in each of the areas included in their workload assignment (typically research/creative activity, teaching, and service), as well as an overall evaluation of their 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 their 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 approved through the process provided for by Board Policy 405.1 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 "does not meet expectations" designation shall be used when the faculty's performance is unsatisfactory. These definitions 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. In accordance with APS 1405.11, in addition to student evaluations, faculty must also provide at least one additional item of evidence from Section III.F.1.a,b,or c. 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. 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 unsatisfactory rating, i.e., "does not meet expectations."

With regard to "Post-Tenure Review," described in Section III.E of APS 1405.11, an overall unsatisfactory rating, i.e., "does not meet expectations" rating, taking into consideration the assigned workload and overall contributions to the unit will result in placing the tenured faculty on a remediation plan. Section III.E also stipulates that in case of failure either to attain an overall satisfactory performance rating or to demonstrate meaningful progress in remediating the overall performance deficiencies at the time of next annual evaluation, the faculty member may be issued a notice of dismissal on twelve months' notice as provided for in Section VI of "Evaluative Criteria," and subject to the procedures contained in the Board Policy 405.1.IV.C.

The performance improvement plan may also be initiated by the Dean's Office when a faculty member receives an unsatisfactory rating in any of the three workload categories (research, teaching, and service).

#### **IV. Promotion**

Section IV of APS 1405.11 enumerates the University's standards and procedures regarding promotion and governs promotions within Fulbright College. Academic Policy Series 1405.13, provides for the review process and suggested documentation 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 Section IV.B. 10f. of APS 1405.11) will be solicited from impartial persons of significant accomplishment in their disciplines. These persons normally will be affiliated with very-high research institutions. Selection of external reviewers from departments with a national reputation in the candidate's field but not associated with R1 institutions shall be justified. Department chairpersons shall use a College template letter that includes the confidentiality statement listed in Section IV.B. 10.f.v. of APS 1405.11.

2. In compliance with APS 1405.11 and this Document, each department in the college shall determine the relevant dimensions to be addressed by external reviewers for promotion to each rank. Each department shall create a list of the materials that will be sent to external reviewers for their review of each dimension. In compliance with Section IV.B. 10.f.vi., each external reviewer should have the knowledge of the complete record of the candidate, including information about responsibilities in the areas of teaching, scholarship, and service assigned during the time period under consideration. The candidate's annual review documents submitted by the chair are part of the candidate's private personnel file and may not be among the materials sent to external reviewers.

3. A candidate's success in the areas of teaching, research/creative activity, and service (see IV.A. of APS 1405.11) 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.

4. Each candidacy will be reviewed by the College Personnel and Tenure Committee, which will make a non-binding recommendation to the Dean. This Committee is an elected body composed of tenure-track and non-tenure track representatives of the College faculty, two tenured faculty from each of the College's three groups (**Group I Art**, Communication, Theater, English, School of Journalism and Strategic Media, Music, World Languages, Literatures and Cultures, and the School of Art; **Group II Biological Sciences**, Chemistry and Bio-Chemistry, Geosciences, Mathematical Sciences, and Physics; and, **Group III Anthropology, History, Philosophy, Political Science, Psychology, School of Social Work, Sociology and Criminology**), and one primary non-tenure track at-large representative, who must be at an associate professor level or higher. Each member serves a term of two years. The composition of the committee and the election process, including the timetable and the voting procedures, are defined in the Fulbright College Standing Committees Election Memorandum distributed to the College Faculty in January of each year.

All non-tenure track faculty at the rank of Assistant Professor and higher are eligible to vote for up to 2 at-large non-tenure track faculty members at the Associate Professor level or higher to serve on the Fulbright College Personnel Committee. The two non-tenure track faculty with the largest number and second-largest number of votes will serve as the primary non-tenure track representative and the



secondary non-tenure track representative on the Fulbright College Personnel Committee, respectively. The primary non-tenure track representative will participate in the review and vote of all Fulbright College non-tenure track promotion cases, but may not vote on promotion cases from the primary non-tenure track representative's own department. The secondary non-tenure track representative will participate in the review and vote of non-tenure track promotion cases when the primary non-tenure track representative is from the same department as the non-tenure track promotion candidate. The primary non-tenure track representative and the secondary non-tenure track representative may not be from the same department.

We adopt Section IV. B.12.i. of APS 1405.11 that stipulates that no member of the College Personnel and Tenure Committee may vote on any candidate from their unit. However, they may participate in all discussions related to a promotion or tenure matter arising from a department in which the member holds an appointment.

5. A written response to a negative recommendation by the College Personnel and Tenure Committee, along with any request for a hearing with the Dean (as provided for in Section IV.B.18 of APS 1405.11), 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.

#### **V. Tenure and Third Year Review**

The College adopts Section V. of APS 1405.11, which enumerates 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. Section IV.1-5 above also apply to the tenure review process.

The College adopts Section III.D. of APS 1405.11 describing the third-year review for tenure track faculty. In addition, the third-year review in Fulbright College shall be made on the basis of a review of annual evaluations, and may include an interview with the candidate and 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. Third-year reviews should be conducted by chairs after input from the faculty of that academic unit. The candidate's department chair 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 V.C of APS 1405.11.

#### **VI. Dismissal**

Dismissal proceedings of tenure-track and tenured faculty, and of merit-based, multi-year appointed non-tenure-track faculty, shall be conducted in accordance with the provisions of Section VI and Section VII respectively of APS 1405.11.