

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
Department of Biological Sciences

This document governs the Department in the selection, retention, promotion, granting of tenure to, and evaluation of faculty effective as of the date of the president's approval. It has been approved by the faculty of the Department of Biological 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 two campus policy statements: (1) Evaluative Criteria, Procedures and General Standards for Initial Appointment, Successive Appointments, Annual and Post-Tenure Review, and Promotion and Tenure, (2) Guidelines on University and Distinguished Professors 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 UA 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

	9-21-2021
Chair	Date
	9-23-21
Dean	Date
_____ Provost	_____ Date

Chancellor	Date
President	Date

The term “Faculty” refers to the tenured, tenure-track and non-tenure-track faculty of the Department of Biological Sciences and the Arkansas Cooperative Fish and Wildlife Research Unit (COOP) leader and assistant unit leaders.

I. Committees: Responsibilities and Service

Academic Policy Series 1405.11 (APS 1405.11. I.B.) and the Fulbright College Personnel Document define the structure and responsibilities of the following unit level committees: The Unit Peer Review Committee, The Unit Tenured Faculty, The Unit Promoted Faculty, and The Unit Personnel Committee.

Faculty committee

1. Unit Peer Review Committee. This committee will participate in annual performance reviews (acting as peer reviewers) and make recommendations to the chair relative to reappointments of faculty (based on annual performance reviews). The committee shall consist of five fulltime faculty members elected following the procedures outlined in APS policy (see APS 1405.11.I.B.1 and 1405.11.III.C), but independent of the Chair of the Department of Biological Sciences, or faculty on Off Campus Duty Assignment(s). At least three members must be tenured faculty, at least one must be a pre-tenured faculty member who has successfully completed three academic years of service in the unit, and one member may be a fulltime non-tenure-track faculty member at or above the rank of assistant professor. Election shall be by secret ballots cast by members of the faculty, and the term of service shall be one year. The chair of the committee will be selected by the members of the committee. The election of the committee members will be organized by the chair of the committee from the previous year. Peer reviews by this committee will include evaluation of each faculty member’s performance in the categories of teaching, research and scholarly activity, and service. Each committee member shall be evaluated by the remaining committee members.
2. As needed, the department faculty shall elect a Unit Personnel Committee consisting of at least five faculty. Membership of and selection process for the Committee shall be as described in APS 1405.11.IV.B.12 and the Fulbright College Personnel Document. This committee will serve as the department’s “promotion and tenure committee” as stipulated

by the University procedures for promotion (APS1405.11.IV) and tenure (APS1405.11.V).

In any obvious case of conflict of interest as defined by University of Arkansas, Fayetteville Policies and Procedures 404.0, the involved party shall be excused from the case committee. The Unit Personnel Committee shall elect a chair from its membership to represent the actions of the committee and to generate the evaluation document. . If there are two or more non-tenure track faculty members that qualify for the Unit Personnel Committee, one must be elected. In cases where a faculty member seeks promotion to the rank of Professor and the elected Unit Personnel Committee lacks a minimum of three full professors, the current chair of the Unit Personnel Committee will hold a special election in accordance with APS 1405.11.IV.B.12 and the Fulbright Personnel Document to ensure at least three members of the committee are at the rank of Professor.

II. Initial appointments

A. Criteria for initial faculty appointments

1. The Department of Biological Sciences adopts the criteria and procedures set forth by the University and College. (See APS 1405.11. II.A, B, C, D, APS 1405.111, Fulbright College of Arts and Sciences Personnel Document, and definitions of positions APS 1435.50). The permitted duration and conditions for the various types of appointment is addressed in detail in APS 1405.11 and APS 1405.111.

The Department of Biological Sciences adopts the following supplemental criteria for initial appointment.

2. For the rank of Lecturer, usually part-time, a Master's degree in Biology or related discipline is normally expected and experience appropriate for teaching the specific courses for which a vacancy exists.
3. For the rank of Instructor, full-time and usually on an academic year basis, a Master's degree in Biology or related discipline is required
4. For Assistant Professor, the Ph.D. in Biology or related discipline 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.
5. For Associate Professor, the Ph.D. degree in Biology or related discipline, relevant training and a record of excellence in teaching as well as an established program of research, and a record of publication are required.
6. For Professor, the Ph.D. degree in Biology or related discipline, 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.

7. For Teaching and Research, and Professor of Practice, general criteria are the same as the standards for appointment to the corresponding professional rank without the prefix of "Teaching, Research, and Professor of Practice."
8. 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."
9. For unpaid Adjunct Assistant Professor, Adjunct Associate Professor, and Adjunct Professor, the general criteria are the same as the standards for appointment to the corresponding professional rank without the prefix of "Adjunct."

B. Criteria for initial professional staff appointments

1. Post-doctoral appointments. The purpose of post-doctoral appointments is further training of the appointee beyond the doctoral degree, as well as for expanding the research and teaching missions of the University. Qualifications for this position include a Ph.D. or equivalent degree in Biology or related discipline.
2. Research Associate. Appointees to this title are expected to conduct independent research or to be directly involved with faculty or student research projects. Normally, a graduate degree in biology or related disciplines represented by the research projects are required in addition to significant experience in research and development.
3. Research Assistant. Appointees to this title are expected to assist faculty members and graduate students in the conduct of research or to perform duties that directly support research projects. Normally, a bachelor's degree in biology or related discipline is required in addition to some experience in the duty areas of the appointment.
4. Graduate Research Assistant. Appointments to this title are made by faculty members with research funds for assisting faculty members with research. Appointees typically have a bachelor's degree in biology or related discipline. Appointees are expected to be full-time graduate students and usually are appointed for 50% of full time under the supervision of faculty members.
5. Graduate Teaching Assistant. Appointments to this title are made by the Chair based on recommendations by the departmental faculty to students accepted in graduate programs. Appointees typically have a bachelor's degree in biology or related discipline. Appointees are expected to be full-time graduate students and usually are appointed for 50% of full time to assist with teaching and/or duties normally associated with teaching.

C. Procedures for recommending initial appointments of tenure-track faculty

1. Prospective candidates for initial appointment to a tenure-track faculty position shall be identified by a procedure that includes the selection of a search committee by the Chair, the drafting of a description of the position by the committee, and advertisement of the position opening following University procedures.

2. The Chair, with the aid of the search committee and after consultation with the faculty, shall invite a group of candidates for interviews. After the interviews, the search committee will then recommend a list of the candidates to the faculty for approval.
3. The final ranked list shall be developed by the tenured faculty, tenure-track faculty, and the COOP unit leader and assistant leaders present at the faculty meeting (including audio or video conferencing). This list will then be transmitted by the Chair to the Dean.
4. In any case of conflict of interest as defined by University of Arkansas Fayetteville Policies and Procedures 404.0 (e.g., commercial or familial relationship), the faculty member shall not vote or participate in any of the discussions pertaining to the vote.

D. Procedures for recommending initial appointments of non-tenure-track faculty or Adjunct faculty.

1. A recommendation for initial appointment of any non-tenure-track faculty, or “Adjunct” (See position list in 1435.50), shall require an affirmative vote by the majority of the non-tenure track faculty, tenure track faculty and COOP unit members present at the faculty meeting. Procedures for a positive recommendation of Adjunct appointments include a sponsoring letter by a faculty member. The appointment of any compensated temporary faculty will be accompanied by a letter from the Chair, which outlines the expected responsibilities, performance standards, and time limit of the appointment.
2. Any offer of a non-tenure track term of appointment in excess of one year must be merit-based and meet all criteria and procedural requirements set forth for in APS 1405.11 II.D., APS 1405.111, and the Fulbright College Personnel Document.
3. In any case of conflict of interest as defined by University of Arkansas Fayetteville Policies and Procedures 404.0 (e.g., commercial or familial relationship), the faculty member shall not vote or participate in any of the discussions pertaining to the vote.

E. Workload Assignments

The standard workload for tenured and tenure-track faculty is 40% teaching, 40% research, and 20% academic service. The standard workload for non-tenure-track teaching faculty at assistant or higher rank is 80% teaching, 10% research, and 10% service. The standard workload for non-tenure-track teaching faculty at instructor rank is 90% teaching and 10% service. These percentages are subject to revision by the Chair in consultation with the affected faculty. The workload assignment might be revised, for example, due to externally funded research or administrative obligations. Adjustments to the standard workload may be requested by the faculty but determined by the Chair based on the best interests of the department. Further, to fulfill the educational mission of the University and in the best interests of the department, the Chair may modify a faculty member’s workload assignment and evaluation criteria, if necessary, per Academic Policy Series 1405.11.

III. Annual performance reviews and reappointments

A. Criteria for annual review: The department recognizes that faculty have differing work assignments (% Teaching, Research, and Service). Expectations for annual performance in each category will be commensurate with the work assignment of each faculty member. These are the same criteria used in the evaluation of faculty for changes in title/distinction, promotion, and tenure (see below).

TEACHING: The department recognizes that each faculty member has differing course assignments, sizes of courses, numbers of honors students, numbers of graduate students, numbers of advisees, roles in curriculum development, etc. Each faculty's annual review will consider teaching and mentoring activities including those described in APS 1405.11.III.F.1 and listed below. In addition, faculty must include a complete list of graduate and honors students mentored in research that year and their outcomes (i.e., graduated, in progress, no longer affiliated [with reason for departure], etc.).

Below is a set of examples of activities the department considers in evaluating a faculty member's teaching effectiveness. For a more comprehensive list of examples, see APS 1405.11.III.F.1.

- Full courses taught with evidence of teaching effectiveness.
- Role(s) in full courses.
- Courses team taught, taught in lab/drill as well as lecture, contact hours per week, role in designing and grading student effort, supervision of Teaching Assistants, efforts at coordination of lecture with labs/drills, etc.
- Advising aids developed, effort in writing letters of recommendation, etc.
- Involvement in finding and/or providing funding for undergraduate research, effort to ensure undergraduate projects are written up, etc.
- Any evidence for roles on Committees beyond standard expectations.
- Curriculum development: New courses developed, current courses modified/updated, programs developed, programs modified, etc.
- Participation in service training for teachers, educational presentations to the public, presentations to school children, textbooks written, student recruiting activities, etc.

Annual evaluation criteria for teaching:

Does not meet expectations (0): To be assigned for a faculty member who has not participated in the University's Student Evaluation process or has presented very little or no evidence of teaching effectiveness through student evaluations or other substantive materials (see APS 1405.11.III.F.1) or has shown a clear pattern of unacceptable performance.

Minimally meets expectations (1): To be assigned for a faculty member who has presented at least fair evidence of teaching effort in assigned courses (see APS 1405.11.III.F.1) and at least fair teaching evaluations.

Meets expectations fully (2): To be assigned for a faculty member who has presented evidence for being fully engaged in teaching of assigned courses and who has received good or excellent evaluations and has shown evidence of efforts in the other areas of teaching activities.

Exceeds expectations (3): To be assigned for a faculty member who has presented evidence for exceptional productivity in several of the areas of teaching activity, including, but not limited to, excellent teaching evaluations.

RESEARCH: The department expects a faculty member to be successful in the timely and effective dissemination of research results, primarily in the form of peer reviewed publications. It is recognized that there are different styles of publishing that vary with the given faculty member's approach to publishing and to the sub-discipline of biology to which the faculty member belongs. Therefore, quantity of publications, alone, is less important than the overall quality of the publications. The department also expects that a faculty member must be able to support her/his own research endeavor with a sufficient level of external funding and that this support should be established within a reasonable time after initial appointment. It is also realized that a faculty member may experience some temporary unfunded periods between the end of one source of funding and the beginning of the next, but that the faculty member should provide evidence for attempting to renew funding.

Below is a set of examples of activities the department considers in evaluating a faculty member's research. For a more comprehensive list of examples, see APS 1405.11.III.F.2.

- Effective communication of research results. It is suggested that a faculty member provide evidence for the appropriateness of the medium for each publication. In cases where promotion and/or tenure are being considered, the faculty member should provide information on her/his role in multi-authored communications.
 - Refereed research publications in periodicals (printed or electronic) of high quality and broad national/international circulation (published or accepted for publications), books, book chapters, topical reviews, symposia and symposia chapters, research websites, pages on major websites, regional and state publications, non-refereed publications, abstracts of contributed papers, presentations at professional meetings, progress reports to funding agencies, etc.
 - Manuscripts reviewed and under revision, manuscripts submitted and under review, manuscripts in preparation, etc.
- Research funding.

- Funding that is in place, including but not limited to: peer reviewed grants from major federal agencies, peer reviewed grants from foundations and philanthropies, peer reviewed grants from state and/or municipal agencies, grants from above subject only to administrative review, peer reviewed intramural funding, administratively reviewed intramural funding, federal, state, local, industrial, or commercial contracts, etc.
- Pending proposals submitted to the above sources.
- Proposals submitted to the above sources that were not funded. A faculty member may wish to include reviews that demonstrate how competitive a proposal was.
- Evidence for recognition of research.
 - Honors and awards for research, invited symposium papers, invited lectures (intramural and/or extramural), invited participation in workshops (role), invited participation in short courses (role), research accomplishments by postdocs, graduate students, and/or undergraduates under a faculty member's direction, etc.

Annual evaluation criteria for research:

Does not meet expectations (0): To be assigned for a faculty member who has presented very limited or no evidence for research activity or who has been found to have participated in research misconduct.

Minimally meets expectations (1): To be assigned for a faculty member who has presented at least some substantial evidence of research activity (with at least some evidence for communication of research results).

Meets expectations fully (2): To be assigned for a faculty member who has presented evidence for significant effective communication of research results from a program that is appropriately supported. (This includes faculty whose most recent external support has expired and who present evidence of concerted efforts to renew that support.)

Exceeds expectations (3): To be assigned for a faculty member who has presented evidence for exceptional research productivity.

SERVICE: The department recognizes that there are numerous methods by which a faculty member can provide professional service. Service may be academic service provided to the Department, College, and/or University; professional service provided to local, state, national, and international agencies, advisory boards, educational institutions, committees, journals, publishers and professional societies; and/or public service to businesses, municipalities, and/or institutions. Any combination of such service activities with appropriate levels of effort could be evidence that a faculty

member is meeting expectations fully. A service effort focused primarily on academic service is just as valuable as one focused primarily on professional or public service.

Below is a set of examples of activities the department considers in evaluating a faculty member's service. For a more comprehensive list of examples, see APS 1405.11.III.F.3.

- Academic Service: Committee memberships, committee chairs or vice-chair, advisory boards, professional internships, etc.
- Professional Service: Memberships in professional societies, committee memberships in professional societies, session moderators at society meetings, peer reviewing for journals or granting agencies, editorial roles for professional journals, memberships on grant review panels/study sections, memberships on advisory boards for state and national agencies, program officers for granting agencies, etc.
- Public Service: Professionally related service to local governmental units, industries, hospitals, educational institutions, etc.

Annual evaluation criteria for service:

Does not meet expectations (0): To be assigned to a faculty member who presents little or no evidence of service activity.

Minimally meets expectations (1): To be assigned for a faculty member who provides evidence of at least some substantial service activity.

Meets expectations fully (2): To be assigned for a faculty member who provides evidence of solid effort in professional outreach and/or service within the academic community.

Exceeds expectations (3): To be assigned for a faculty member who has presented evidence for outstanding or extraordinary service in professional outreach and/or within the academic community.

B. Procedures for annual review

1. Consistent with provisions of personnel documents issued by the Board of Trustees, the University, and the College, each faculty member is required to submit to the departmental Chair an annual report covering teaching, scholarly research, and professional service. This report, which should be supplemented by student evaluations and other appropriate materials, forms the primary basis for an evaluative review by the departmental Chair and Unit Peer Review Committee. The results of the review by the Unit Peer Review Committee will be forwarded to the departmental Chair, following which the Chair will state the results in a merit evaluation report to the Dean. Before submission to the Dean, each faculty member shall be given the opportunity to meet with the Chair and review the report. The Chair shall keep a written record of the conference identifying problems and proposed solutions. The

faculty member shall receive a copy of the record. The faculty member shall acknowledge receipt of the record in writing and may respond in writing. The Chair's final recommendation regarding the faculty member's performance in each of the areas of their workload assignment and of their overall performance as faculty member is provided to the Dean.

2. The cooperative unit leader and assistant unit leaders as University affiliates will undergo the same evaluation procedure as University-hired faculty. They will also be evaluated according to the standards set by the federal entity responsible for their employment.

C. Criteria and procedures for recommending reappointment

1. Tenured faculty have a right to a subsequent appointment except for reasons of termination specified by the Board of Trustees.
2. The departmental Chair in consultation with the Unit Peer Review Committee initiates recommendations for reappointment of all non-tenured faculty members.
3. The criteria for reappointment of non-tenured, tenure-track faculty are evidence of reasonable progress towards promotion as developed in the annual reviews and as specified in Promotion and Tenure below. When non-reappointment of a non-tenured but tenure-track faculty member becomes necessary, the procedures and deadlines described in Board Policy 405.1, Board Policy 405.4, and APS1405.11.VI must be followed.
4. Successive appointments for non-tenure track faculty are addressed in Board Policy 405.1, Board Policy 405.4, APS 1405.11, 1405.111, and the Fulbright College Personnel Document, in particular, 1405.111, addressing "Initial and Successive Appointments, Evaluation and Promotion of Non-Tenure Track Faculty; Merit-Based Appointments in Excess of One Year."

D. Third Year Review

1. All non-tenured tenure track faculty will select, in consultation with the Chair, at least three mentors from among the tenured faculty. This selection will occur during the tenure track faculty member's first year of appointment. The mentors will be responsible for guiding the mentee in procedures and preparations for reviews, annual evaluations and promotion and tenure by the department.
2. All faculty members on tenure-track, but not tenured, must undergo a departmental pre-tenure review by the Chair of the department and the tenured faculty, at least by the end of the third year following initial appointment. The purpose of the review will be to assess the candidate's progress toward a positive recommendation for tenure, and to provide the candidate with advice and analyses resulting from the review. The criteria and procedures are the same as for the departmental portion of a tenure review except that no extramural evaluations will be solicited. The results of the review will be communicated to the Dean and to the candidate.

IV. Promotion, tenure, or title change

A faculty member wishing to be considered for promotion and/or tenure must submit materials in accordance with the University's Faculty Review Checklist. Materials should follow the prescribed format and include all information reported on annual performance reviews since achieving current rank. A copy of complete curriculum vitae also is required. If the Chair of the Department of Biological Sciences is being considered for promotion and/or tenure, the dean shall appoint a faculty member outside of the department to chair the proceedings and to serve in all roles designated for the Chair of the department in that which follows. Otherwise, the procedures remain the same as those that apply to any other candidate.

A. Criteria.

Criteria for promotion and/or tenure align with those applied for annual performance review of teaching, research, and service activities (see Board Policy 405.1 and APS1405.11.III.F, which separate the question of tenure from that of promotion), and with standards articulated in the Fulbright College Personnel Document. The candidate's case for either promotion or tenure must provide evidence substantiating continued commitment to ongoing and significant contributions in the following three areas of professional expression.

1. Teaching. Expertise in teaching.
2. Research. An ongoing nationally recognized research program.
3. Service. A meritorious combination of institutional and professional service activities.

Expectations in each category will be commensurate with the work assignment of each faculty member.

B. Procedures for promotion and/or tenure.

As needed, the department faculty shall elect a Unit Personnel Committee consisting of at least five faculty. Membership of and selection process for the Committee shall be as described in APS 1405.11.IV.B.12 and the Fulbright College Personnel Document. This committee will serve as the department's "promotion and tenure committee" as stipulated by the University procedures for promotion (APS1405.11.IV) and tenure (APS1405.11.V).

In any case of conflict of interest as defined by University of Arkansas, Fayetteville Policies and Procedures 404.0, the involved party shall be excused from the case committee. The Unit Personnel Committee shall elect a chair from its membership to represent the actions of the committee and to generate the evaluation document.

1. Extramural evaluations. External reviewers shall be selected in accordance with the University of Arkansas Evaluative Criteria and the Fulbright College Personnel Document.
2. The Unit Personnel Committee will produce a written evaluation of the candidate's qualifications relative to promotion and/or tenure. This evaluation

document and the vote of the committee will be provided to the Chair and the tenured faculty. The tenured faculty vote will be recorded and given to the Chair.

3. After careful consideration of the expressed and written opinions of the Unit Personnel Committee members, extramural evaluators, and the tenured faculty, the Chair of the department shall produce an additional evaluation document. Evaluation documents with recommendations from the Unit Personnel Committee, tenured faculty, and the Chair, will be forwarded to the Dean and the candidate (subject to the provisions in the University Document). The candidate will receive a copy of the evaluation document and the faculty vote of each evaluation when it is prepared.
4. Candidates for promotion or tenure may provide updates to their files during the review process in accordance with APS 1405.11.IV.B.9.
5. The process for appealing a negative recommendation for promotion or tenure is outlined in Fulbright College and University documents.

C. Procedures for Instructor title change.

Instructors will be eligible to be considered for title change to Advanced Instructor after three years of service and to Senior Instructor following a minimum of six years of service. A change in title may be accompanied by a salary adjustment pending consultation between the instructor and the department chair and availability of resources. Title change requires a consistent and strong record of achievement in assigned duties, commensurate with working assignment.

The candidate must submit evidence of strong performance in the form of a personal statement on teaching, professional development, service, etc. with any evidence of achievement/accomplishment (e.g. CV, annual reviews, student evaluations, and any relevant supporting materials). Decision on title change will be made by the department Chair in consultation with the Vice Chairs.

D. Post-Tenure Review

The Department adopts the post-tenure review procedures defined in APS 1405.11 III. E.

November 25, 2019 (revised). [Approved by the Faculty of the Department of Biological Sciences]

September 21, 2021 (final revision) [Approved by the Faculty of the Department of Biological Sciences]