

Approved by College Faculty Council
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PERSONNEL DOCUMENT

ON

**Evaluation Criteria, Guidelines, and Procedures
for Initial Appointment, Successive Appointments,
Promotion, Tenure, and Annual Review of Faculty**

**Dale Bumpers College of Agricultural, Food and Life Sciences
University of Arkansas**

This document governs the procedures of the Dale Bumpers College of Agricultural, Food and Life Sciences in the selection, retention, promotion, granting of tenure, and evaluation of faculty, effective January 1, 1999. The central purpose of these procedures is to support efforts to recruit and retain the highest quality faculty possible. These procedures have been reviewed and accepted by the faculty and administration of the College and the University.

Policies herein are consistent with those of the University as set forth in three campus policy statements; those on (1) University Professorships, (2) Distinguished Professorships, and (3) Evaluative Criteria, Procedures, and General Standards and Initial Appointments, Successive Appointments, Promotion and Tenure, and Board of Trustees policy 405.1. Where appropriate, those policies are referenced rather than repeated. In case of conflict, authoritative sources in descending order are: the Board policy, the University policy, and the College policy. Copies of the University 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. In addition, the Division of Agriculture publishes periodic "Policy and Management Guidelines" that affect faculty holding joint appointments in the Agricultural Experiment Station and/or Cooperative Extension Service. A copy of this personnel document shall be retained in each Department of the College. This document will be periodically reviewed and updated.

APPROVALS

_____ Dean	_____ Date
_____ Vice Chancellor for Academic Affairs	_____ Date
_____ Chancellor	_____ Date
_____ President	_____ Date

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I. INTRODUCTION

A goal central to success of the Dale Bumpers College of Agricultural, Food and Life Sciences (hereafter referred to as "College") is to seek, employ, and retain a faculty with the greatest possible abilities in teaching, research and other creative scholarly activities, and academically related service. The College provides due process for consideration for promotion and tenure of quality faculty members. The objectives of this document are to 1) provide criteria, guidelines, and procedures for appointment, promotion, and tenure that are consistent with the policies of the University; 2) identify basic criteria for evaluation of performance and accomplishments of the faculty; and 3) provide a mechanism for the review of decisions, including an appeal process.

Faculty performance is evaluated each year by the Units in the College and recommendations for promotion and/or tenure originating in the Units are reviewed at the College level. College policies are designed to reward meritorious professional performance and recognize the potential for and progress toward continued high performance by promotion and/or granting tenure. Tenure is granted by the President and resides at the University of Arkansas - Fayetteville in the academic departments. Attainment of tenure requires meeting performance expectations in (a) teaching, (b) research or other creative scholarly activity, and (c) academically related service. All decisions in selection, retention, promotion, and termination of faculty shall be made solely on the basis of performance of assigned duties, professional merit and quality of contribution to the University, except as outlined in Board Policy 405.1. Judgments may not be based on attributes of the candidate that are irrelevant to professional performance, such as age, disability, ethnic origin, marital status, race, religious commitment, gender or sexual orientation. These policies and procedures will be revised as needed, consistent with established procedures in the University of Arkansas-Fayetteville *Faculty Handbook* (<http://pigtrail.uark.edu/pubs/facultyhandbook/>) and University of Arkansas Board of Trustees' policies (<http://www.uark.edu/admin/vcfainfo/>).

II. RESPONSIBILITIES FOR IMPLEMENTATION

II.A. General

It is the Department Head's responsibility to make each faculty member aware of, and provide access to, these policies. No later than 30 days after beginning employment in connection with first appointment, each faculty member shall be advised in writing by his or her Unit Head of the criteria, procedures and instruments that are to be used in assessing his or her work. It is also the faculty member's responsibility to become familiar with these policies. Written copies of these policies shall be maintained by each Unit of the College and shall be made available to the faculty during normal working hours. The document will also be accessible on the College Home Page (<http://pigtrail.uark.edu/depts/dbcafls/>). The principal responsibility for implementing these policies and procedures and for formulating unit recommendations rests with the Unit Heads and the Dean.

II.B. Unit

The Unit is the basic discipline administrative unit for both the College and the Experiment Station (hereafter "Station") (Figure 1). The Unit Head has the responsibility for initial and subsequent annual evaluations of faculty teaching, research/creative activity and service. When faculty are located off campus, the evaluation shall be made jointly by the Department Head and the appropriate Center or Institute Director. Each Unit faculty will provide the formal means for expression of tenured and tenure-track faculty opinions and advice to the Unit Head on personnel decisions concerning recommendations for initial appointments, tenure, promotion, and emeritus and adjunct status. In addition, each Unit shall select a faculty committee to assist in the

annual review of promotion and tenure status of assistant and associate professors. Their recommendations shall be made, in writing, to the Unit Head.

In addition, an annual merit-based performance evaluation must be conducted for all faculty. This annual review must include peer and, where appropriate, student input as an integral part of the recommendations for annual salary increments as well as (cumulatively) for promotion and/or tenure.

Recommendations for tenure(from a Unit faculty) shall be formulated by tenured faculty members. Although the advice of non-tenured-tenure-track, non-tenure-track, temporary, adjunct, or emeritus faculty members is welcomed, such advice and counsel have no formal or official role in the evaluation process.

The Unit Review Committee shall be the members of the Unit Promotion and Tenure Committee elected by the Unit Faculty or selected pursuant to procedures established by the faculty and Department Head (Faculty Handbook; Policies Governing Faculty Service; Appointments, Promotion, Tenure, Non-Reappointment and Dismissal of Faculty; Board Policy 405.1, revised June 6, 1997; <http://pigtrail.uark.edu/pubs/facultyhandbook/>).

II.C. College

The College Promotion and Tenure Committee will consist of one tenured member elected annually by the tenured members of each departmental faculty on the Fayetteville campus and one off-campus tenured member elected annually to represent faculty located at off-campus locations. The chair of the College Promotion and Tenure Committee will function as set forth in Board Policy 405.1.

II.D. Dean

The Dean--also Associate Vice President for Agriculture-Research--in concert with the Unit Heads who hold joint appointments in the College and Station, has overall responsibility for facilitating and insuring consistency in faculty evaluations for teaching, research and service (See Section III.B.).

III. CRITERIA AND STANDARDS FOR INITIAL APPOINTMENT AND REAPPOINTMENT

III.A. The Position Description

The following are generalized guidelines and expectations. Section IV contains suggested criteria for evaluation of candidates for appointment and reappointment. However, specific expectations are stated in the written descriptions of positions for which specific faculty members are recruited. The position description, when a faculty member is hired, will form the basis for development of the job description for the faculty member and represents the expectations against which performance will be judged. The job description will be reviewed annually by the faculty member and his/her Unit Head and any appropriate changes recommended to the Dean for final approval.

The following guidelines emphasize professional outcomes upon which faculty can be evaluated. Again, the specific nature and relative importance of individual criteria are dependent upon expectations stated in the job description. The publication of research in technical journals does not preclude the importance of reporting research to farmers, the public and other users of the information (i.e., applied technology transfer), and vice-versa.

The evaluation process should be conducted such that the performance of the faculty member is compared against a set of expectations as set forth in the job description. It is the responsibility of the Unit Head and the Dean to assure that all job descriptions support the missions of the Unit, College and University.

In addition, promotion to a specific rank or awarding of tenure requires that candidates satisfy the criteria and standards of expectation of all faculty. These criteria and standards are expressed in Section IV.

III.B. Split Appointments

It is advantageous for certain faculty members to hold joint appointments in the Arkansas Agricultural Experiment Station, and/or in the Arkansas Cooperative Extension Service (ACES). In these cases, as with faculty not on split appointment, the expected scholarly achievements are the same and the job description will serve as the basis for all considerations of promotion and/or tenure in the College. The Division of Agriculture policy on split appointments is included as Appendix A.

III.C. Tenure-Track Faculty

Assistant Professor - The minimum requirement for appointment to this rank is the doctoral degree. In areas where the doctorate is not usually given or where the doctoral degree requirement would place a department in an untenable position for filling a specified position, this requirement may be waived. A candidate for this rank should be able to demonstrate an aptitude for teaching and research or scholarly activity and support the institutional, professional and public service goals of the College and University.

Associate Professor - The criteria outlined for appointment to Assistant Professor apply to an initial appointment at the rank of Associate Professor. In addition, candidates for appointment or promotion to this rank must have demonstrated consistent performance; distinguished overall performance in a specific area; and excellence in teaching, research/creative activity, and service. The candidate must have directed graduate students, particularly M.S. degree students; and contributed to the academic improvement and reputation of the Department, the College and the University as outlined in the job assignment. Experience with industry or governmental units may be considered. A person initially appointed as an Associate Professor must also meet the established criteria of the Unit, College, and University for promotion to the rank.

Professor - In addition to fulfilling the criteria established for the appointment to Associate Professor, candidates for appointment or promotion to the rank of Professor must have demonstrated excellence or distinguished performance in teaching, research/creative activity, and service; have demonstrated an ability to direct graduate students, including training of doctoral students where applicable; be recognized nationally in their field of work; and meet the criteria of the Unit, College, and University for the rank. Experience with industry or government units may be considered.

University Professor - Persons appointed to this rank are expected to be among the most prestigious members of the College faculty. They will have demonstrated and promoted excellence in research/creative activity, teaching, and public service. As such, they must have demonstrated leadership far above the average of those occupying the rank of Professor and be recognized by their respective professional disciplines. Because of the prestigious nature of this academic rank, no more than 15% of the tenure-track faculty within the College may hold this rank. An appointment as an Emeritus University Professor will not count against the 15% limit.

Distinguished Professor - The rank of Distinguished Professor is the highest faculty rank on this campus. Appointees at this rank must satisfy the criteria for appointment as University Professor, with the additional requirement that the candidate must be recognized internationally for the significance of his/her work and as being among the most accomplished in their discipline of science. A candidate for this rank should be recognized internationally for the significance of his/her work and be able to demonstrate extraordinary accomplishments in teaching, published works, research or creative achievements in his/her discipline of science.

III.D. Non-Tenure-Track Faculty

Non-tenure-track faculty may be appointed on a temporary basis or for specific terms or on a basis subject to reappointment and promotion but not for tenure.

Conditions of the appointment will be stipulated in the letter of offer for the position.

Lecturer - Appointments are usually for one semester or one year, may be full-time or part-time, and are for teaching. Normally, appointees will hold a master's degree or equivalent. Evidence of potential for excellence in teaching is required.

Instructor - Appointments are usually for one semester or one year, may be full-time or part-time, and are for teaching. A master's degree or equivalent is required, and study beyond the master's level is desired. Evidence of excellence in teaching is required as is evidence of continuing professional and scholarly interest in the academic discipline of the appointment.

Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor - These ranks are used to appoint for one semester or one year persons who meet the general criteria and standards for appointment to the corresponding professional rank without the prefix "Visiting." Appointments at these ranks are to be used to enrich the learning and research environment through periodic access of students and faculty to scholar-teacher-artists who normally have permanent employment elsewhere.

Assistant Research Professor, Associate Research Professor, and Research Professor - These ranks are used to appoint persons who meet or exceed the criteria and standards in research/creative activity for appointment at the corresponding tenure-track professorial rank. Appointments may include teaching and student advising. Appointments at these ranks are not tenure-track. However, the expectations of faculty holding these ranks is exactly the same as for tenured faculty except that they do not participate in the processes associated with the evaluation of candidates for tenure and do not possess other attributes of tenure including, but not limited to, the right of continuous appointment. Individuals holding these ranks may, upon appointment to the Unit or College Tenure and Promotion Committee, participate in deliberations dealing with promotion and are expected to participate in the evaluation of faculty. Upon recommendation of the Unit, and approval of the Dean, these positions may be converted to tenure track.

Adjunct Assistant Professor, Adjunct Associate Professor, and Adjunct Professor - These ranks are used to establish official association of a teacher-scholar-artist with a Unit in the College to accomplish some specific purpose for a specified time and must be recommended by the departmental faculty and approved by the Dean. Appointments must be renewed annually and are usually without a salary. An appointment to an adjunct title requires meeting the criteria and standards for appointment to the rank without the prefix "Adjunct."

Emeritus ranks - Emeritus ranks are conferred by the Board of Trustees according to Board policies. Recommendations for appointments to emeritus ranks originate with the Unit, and a positive recommendation requires meritorious service at the rank and at lower faculty ranks for an appropriate number of years as specified by Board policies. Nominees for this rank must be recommended by resolution from the Unit faculty and approved by the Dean.

IV. CRITERIA FOR ANNUAL EVALUATION

Items considered in annual evaluations or a nomination for promotion and tenure shall be based on the job description. (see section III.A.) The following list is not all inclusive. Items may be added or deleted as appropriate for a specific assignment as dictated by the job description.

IV.A. Teaching (Including Advising)

Evidence of accomplishment in teaching is characterized by preparation, planning, and execution of the teaching assignment in a manner that brings recognition to the individual and institution. Examples of performance with measurable outcomes in this area include, but are not limited to, the following:

1. Number of different course(s) taught, level of courses, and frequency of teaching each course.
2. Quality of undergraduate and graduate advising, numbers of students advised.
3. Innovative techniques employed in instruction and advising, such as new education exhibits, lecture charts, slide sets, etc.
4. Teaching and/or advising awards and/or special recognition.
5. Revised course outline(s) or other evidence of updating course materials.
6. Examples of classroom evaluation methods.
7. Teacher, course, and advising evaluations by students.

8. Evidence of responsiveness to constructive suggestions.
9. Availability to students outside of regularly scheduled classroom periods; availability for formal and informal advising.
10. Publication of teaching methodology, innovative and scholarly procedures, or experimental procedures used in the classroom.
11. Participation in off-campus teaching assignments.
12. Evidence of committee work that enhances the instruction-advising program of the Unit, College, or University.
13. Participation in faculty development activities, such as teaching and advising workshops, conferences, and seminars.
14. Number of graduate student theses and dissertations supervised and completion of degree requirements by graduate student(s).
15. Contributions to interdisciplinary or team-taught courses (see section V.D.2.d).
16. Participation in or use of innovative technology of teaching capability and/or curriculum development, e.g. distance education.

Campus policies require that students be afforded the opportunity to evaluate each instructor and that a summary of student perceptions be incorporated into the evaluation of faculty performances. These summaries are to be part of the materials considered by the Department Heads in annual reviews and will be noted as student evaluations of the faculty member.

IV.B. Research and Other Scholarly Activity

Research/creative activity is characterized by preparation, planning, execution, and presentation of results that bring state, regional, national, and international recognition to the individual and the College and University and contribute to the overall missions of the College and University. Special provisions are used to apply these criteria in the context of interdisciplinary research (see section V.D.2.d.). Examples of performance to be documented in this area include, but are not limited to, the following:

1. Scholarly contribution to science as well as contribution to Arkansas' agricultural and allied industries.
2. Quality of publications (as determined by candidate's Unit).
3. Number and nature of publications (peer reviewed, popular articles; etc.).
4. Software developed.
5. Patents applied for and received, consultantships, varieties released, etc.
6. Significance of research/creative activity and evidence of its acceptance in the field.

7. Demonstrated grantsmanship, amount of competitive grant funds received. The availability of funds for a specific area will be taken into consideration in this evaluation.
8. Honors and awards received for research/creative activity (included in the latter group would be shows and exhibits in interior design, furniture design, textile and costume design, etc.).
9. Publication of a graduate student's thesis or dissertation research. The fact that the student is listed as first author should not detract from credit the major advisor receives. Review documents containing publications of graduate students should carry a special notation so as to reflect the proper credit for the major advisor.
10. Papers presented at professional meetings and seminars.
11. Invited scientific papers.

IV.C. Service

Professional activities that enhance the local, state, regional, national, and/or international professional image of the individual, the College, and the University will be given serious consideration. Examples of performance with measurable outcomes include:

1. Service to Arkansas' agricultural, food and life sciences and allied industries.
2. Advising or assisting University clubs or other affiliated groups.
3. Public presentations.
4. Conferences for the benefit of the public.
5. Active service on Unit, College, Division and University committees.
6. Offices or committee participation in international, national and regional professional or University organizations.
7. Service on editorial boards and participation in peer reviews for journal publications.
8. Assistance with judging teams both within and outside the University.

9. Assistance with special events such as fairs, cooking schools, dress reviews, etc.
10. Service activities such as answering consumer or producer requests for information, feed ration formulation, veterinary assistance, plant disease or insect diagnosis, soil testing, pesticide assistance, etc., associated with the overall relationships of the Unit, College, or University with the community.
11. Participation in peer reviews of grant applications.

V. PROCEDURES FOR ANNUAL REVIEW AND RE-APPOINTMENT

The faculty and Head of each Department may adopt specific criteria and procedures, subject to approval of the Dean and administration as specified in the job description (see section III.A. and below), for initial appointment and annual review of all faculty. The specific criteria and procedures must be provided in writing to each faculty member in the respective Units and attached to a copy of this document.

Recommendations on re-appointments will be forwarded to the Dean by the Unit Head. New appointees at the rank of Associate Professor or Professor may be granted immediate tenure if appropriate criteria and standards as outlined in Sections III and IV are met and with approval of the President, University of Arkansas System. All new appointments with tenure will be reviewed by the Unit and College Promotion and Tenure Committees. The recommendations of these committees will be recorded on the Nomination for Tenure form (Appendix E) and shall be in writing.

The annual performance review (section V.D.) shall be the basis for reappointment, merit salary increase, work assignment/reassignment, non-reappointment, or dismissal. The period covered by the review shall be the calendar year, January 1 through December 31. Each faculty member shall be evaluated by his/her Unit Head (and Center or Institute Director in the case of off-campus faculty) following established procedures. The Faculty Service Review Form will be used as the basis for this review and is illustrated in Appendix B.

V.A. Notifications

Each new faculty member must receive copies of all previously listed information no later than 30 days after the effective date of the initial appointment. No later than September 15 of each year, each faculty member must receive written notification of the annual review criteria, procedures, and instruments for the current fiscal year as outlined in this document and the current *Faculty Handbook*. In addition, each faculty member will receive written notification of that year's assignments and the review schedule (Faculty Handbook, Policies Governing Faculty Service; Appointments, Promotion, Tenure, Non Reappointment and Dismissal of Faculty; Board Policy 405.1, revised June 6, 1997; <http://pigtrail.uark.edu/pubs/facultyhandbook/>).

Non-tenure-track faculty members shall be notified in writing of non-reappointment or dismissal on a time schedule and procedure similar to that for tenure-track faculty as outlined in Appendix C.

V.B. Job Description

Each faculty member will have an approved written job description within 30 days of the initial appointment (see section III.A.). The job description should be formed from the position announcement. The job description will be part of the Promotion and Tenure documentation and, therefore, should specify teaching, research or other scholarly activities, and service responsibilities and proportion of assignment to each. The job assignment shall be reviewed and updated annually by the Unit Head in concert with the faculty. As the job assignment changes during the course of employment, the Unit Head, in consultation with the faculty member, will revise the job description to accurately reflect the current assignment. If common agreement cannot be reached, the faculty member may appeal the decision (Faculty Handbook; Policies Governing Faculty Service; Appointments, Promotion, Tenure, Non-Reappointment and Dismissal of Faculty; Board Policy 405.1, revised June 6, 1997; <http://pigtrail.uark.edu/pubs/facultyhandbook/>). The Dean will review all job assignments and changes in job assignment, and none shall be made without the Dean's approval.

V.C. Annual Plan of Work

Each faculty member will submit a calendar year plan of work on or before January 15 for approval by the Unit Head and the Dean. The Plan of Work will include sections on research/scholarly activities, teaching/ advising, service and, if applicable, extension. The Plan of Work may be modified during the year as situations dictate. All modifications must be approved by the Unit Head and Dean. The format for the annual Plan of Work is included as a part of Appendix E.

V.D. Annual Performance Reviews

Each faculty member will undergo an annual review. The annual review shall be the basis for reappointment, merit salary increase, work assignment/reassignment, non-reappointment, or dismissal. The period covered by the review shall be the calendar year, January 1 through December 31. The criteria for annual review and successive reappointments will be as enumerated in the Faculty Service Review Form (FSRF) (Appendix B). The FSRF may be modified to better suit the needs of specific Units. All modifications must be approved by the Dean. The FSRF must have sections for written comments by the employee and Unit Head. The evaluation will be the responsibility of the Unit Head (and appropriate Center or Institute Director in case of off-campus faculty). The completed evaluation will be reviewed by the faculty member (and, if appropriate, Center or Institute Director). Signatures on the evaluation will include those of the employee and Unit Head (and, if appropriate, Center or Institute Director).

An annual review of each faculty member will be conducted in accordance with the faculty member's job description and current written assignment. These performance reviews are to be the basis of recommendations for successive appointments; changes in job assignment; promotion; tenure; and merit salary increases. The annual review schedule will be as outlined in Appendix C.

V.D.1. Annual Administrative and Peer Review

The Unit Head is responsible for initiating and conducting the evaluation of each faculty member in his/her Unit and for initiating the process of deciding whether to recommend successive appointment of each non-tenured, tenure-track and non-tenure-track faculty member. However, the Unit Head's recommendation regarding successive appointment is to be made only after consultation with the faculty member involved and after receiving the evaluation of the Unit Promotion and Tenure Committee. Peer review must be a component of the Unit review/evaluation.

All non-tenured faculty in tenure-track positions shall be notified of successive appointment recommendations following the procedure and schedule as outlined in Board Policy 405.1, Section IV. Non-tenure-track faculty will be notified of successive appointments following the schedule outlined in Appendix C.

"Before submitting to the Dean his or her recommendation and that of the unit committee or group, the Head shall meet with the faculty member to discuss issues related to the review. A copy of the summary of the discussion and a copy of the Head's draft of the proposed recommendation regarding reappointment and of the committee's recommendation shall be provided by the Head to the faculty member, who shall be given a reasonable (five working days) opportunity to submit a written response before the Head prepares his or her final recommendation. A copy of the Head's final recommendation to the Dean shall also be provided to the faculty member, who shall be given a reasonable opportunity to submit a written response to be forwarded to each subsequent level of review."

Letters of appointment and all subsequent personnel letters will clearly state whether the appointment/reappointment is tenure-track or non-tenure-track. For a temporary faculty member who is appointed for a term of a year or less, the letter of appointment will serve as notification of termination by specifying the terms and responsibilities of the appointment and stating that the contract does not extend beyond the end of the appointment period, the title used will be a title which is non-tenurable (i.e., Visiting Assistant Professor, not Assistant Professor), and the letter will include the sentence, "This is not a tenure-track appointment." (Such a statement does not preclude future appointment.) When such letters are sent by a Unit Head, a copy will be sent to the Dean.

When it becomes necessary to recommend non-reappointment of tenure-track, non-tenured or non-tenure-track faculty members, except those on temporary appointment as described above, the procedures and deadlines prescribed by Section IV.B. of the section on Appointment, Promotion, Tenure, Non-Reappointment, and Dismissal of Faculty in Board Policy 405.1 must be followed in every detail. The Unit Head will recommend non-reappointment by a letter to the Dean with a copy to the faculty member.

The Unit Head or Dean recommending a non-tenured or non-tenure-track faculty member for non-reappointment will notify the faculty member in writing in accordance with the schedule provided by the Office of Academic Affairs and will include a copy of the pertinent section of the *Faculty Handbook* with the letter of non-reappointment.

V.D.1.a. Post-Tenure Review

Each year the performance of every tenured and tenure-track faculty member is reviewed and evaluated by their Unit Head. Based on this annual review and evaluation, personnel decisions such as reappointment, merit salary increases, and promotion are made. The College follows the Campus Policy on post-tenure review (Appendix F). Each Unit will determine (with concurrence of the Dean) the definition of satisfactory performance, as referenced in the post-tenure review policy, as a part of its faculty evaluation procedure.

V.D.1.b. Review of Faculty by the Dean

During

- (1) each year of appointment of non-tenured, tenure-track faculty
- (2) each year of appointment of non-tenure-track faculty and
- (3) the year prior to submission of documents for promotion to the rank of Associate Professor or Professor or appointment to University Professor or Distinguished Professor,

a summary of accomplishments, using the criteria in Section IV as a guideline, will be submitted to the Dean on or before September 1. The summary will be used to review, with the assistance of the Unit Head, the progress of the faculty member. The deadline for recommendations on successive appointments of non-tenured, tenure-track faculty and non-tenure-track faculty will be those provided by the Office of Academic Affairs under the title, Schedule of Important Deadlines.

V.D.2. Evaluation System Criteria as Related to Procedures

V.D.2.a. General

Salary increases will be considered for each faculty member in those years in which a salary program is appropriate. Salary increases will be based on individual performance and accomplishment in the areas of teaching (including advising), scholarship (including research and creative or artistic endeavors), and service. The weighting of a faculty member's evaluations will be in accordance with the job description as modified by the written annual assignment. The job descriptions and annual assignments will be reviewed by the Dean to assure equitable application across the College.

A uniform set of criteria applicable to all disciplines in the College is virtually impossible to specify. The College has identified a minimal set of criteria to be considered in the annual evaluation of faculty members for promotion and/or tenure (see section IV).

Recommendations for adjustments in salary for reasons in addition to performance may also be allowed. Reason(s) for adjustments include, but are not limited to, inequities among faculty members. These salary adjustments, which do not relate to performance during the year of adjustment, are meant to recognize meritorious performance in general not previously recognized or reflected in salary level as compared to that of peers with comparable overall performance. Ultimately, all recommendations must be performance based, unless otherwise mandated by the Board of Trustees. Whatever the basis for the salary adjustment, the Unit Head shall submit detailed documentation to explain and justify the proposed adjustment.

The Unit Head is required to document the performance of each faculty member relative to assigned duties. Inferior or unacceptable performance of assigned duties and the basis(es) for such an evaluation must be carefully documented in the recommendation from the Department Head.

V.D.2.b. Departmental

Each faculty member will provide input to the evaluation process by completing the Faculty Service Review Form (FSRF) (Appendix B) annually, covering all activities for the previous calendar year. The completed FSRF, including the comments of the Head, (and appropriate Center or Institute Director in case of off-campus faculty) and faculty member, will be forwarded to the Dean. At the end of the annual review conference with each faculty member, both the faculty member and Head will sign all evaluation instruments. These signatures indicate that the annual review conference was completed. The Dean will be notified upon completion of all evaluations.

The annual review forms, summaries of annual discussions between the Unit Head and faculty member, recommendations, and all other materials used in or resulting from the annual reviews of the faculty member shall be maintained as long as the faculty member is employed by the University and for at least three years thereafter. These materials shall be made available to the faculty member upon his or her request.

Each faculty member's performance in carrying out his/her job description will be evaluated. Teaching, research/creative activity, and service are lifelong pursuits and are difficult to compartmentalize into twelve-month periods. Evaluations should emphasize the performance during the previous year, but past patterns of performance must also be considered.

Each Unit will develop specific criteria and evaluative instruments that conform with the specific circumstances to augment but not supplant any developed by the College. The criteria and evaluative instruments must be approved by the Dean. Faculty members assigned as full-time teachers are expected to be involved (a) in research and to publish significant results in scholarly publications or (b) in scholarly creative activity that achieves peer recognition. In addition, faculty members are expected to provide service to the Unit, College, University, state and nation. Items to be considered as a general minimum in evaluating the performance of research/creative activity, teaching (including advising), and service are found in Section IV. The list is a guide to those seeking tenure and/or promotion but should not be considered all inclusive.

V.D.2.c. Peer Evaluations

The College-approved peer review policy and peer evaluation form is provided in Appendix D. Departments may develop an alternative form or evaluation procedure that satisfies the needs of the Unit, College, University and state law. However, any deviations from the College-approved procedure must be approved by the Dean prior to implementation. Completed annual peer evaluations are to be maintained in the Department.

V.D.2.d. Interdisciplinary Activities

Increasingly, problem-solving research and, in certain cases, effective instruction require the talents of faculty from several disciplines. Although interdisciplinary activities should not supplant independent creativity in teaching and research, it is important to document the contributions of faculty to teams when considering them for promotion and/or tenure. Nominations for promotion and/or tenure will contain a statement by the Unit Head

describing the participation of faculty in interdisciplinary teaching and research. In addition, the nomination shall contain statement(s) by one or more individuals other than his/her discipline Unit Head who have special knowledge of the candidate's contributions. In cases where the candidate participates in an Institute or Center, the Director of the Institute or Center shall submit a statement evaluating the effectiveness of the candidate. The candidate may wish to mark by special notation those activities, especially publications and courses, that result from interdisciplinary efforts.

V.D.2.e. Departmental Appeal Procedure

The appeal procedures for successive appointments of non-tenured, tenure-track faculty are outlined in Board Policy 405.1, Section IV.B.

Each Unit will use the Unit Promotion and Tenure Committee to hear appeals concerning annual evaluation or changes in job description.

The specific appeals process shall be established by the Unit faculty and approved by the Dean. If the appeal is not resolved in the Unit, the evaluative instruments and recommendations of the Head and Unit Promotion and Tenure Committee shall be forwarded to the Dean for review and resolution. If not resolved, an appeal may be made to the Vice Chancellor for Academic Affairs. All records will

be forwarded for review. The decision by the Vice Chancellor for Academic Affairs shall be binding on all parties.

VI. PROCEDURES FOR PROMOTION AND/OR TENURE

VI.A. General

When evaluating a faculty member for promotion and/or tenure, consideration should be given to his/her specific job assignment in light of the resources, extramural and internal, available in his/her area of endeavor. The recommendation for promotion and/or tenure should include statements relative to assigned responsibility and, possibly, availability of resources. Effectiveness of faculty in obtaining resources is a legitimate criterion for evaluation. Some off-campus faculty members may not have an opportunity to teach formal courses because of the nature of their appointments and/or locations. However, when the opportunity arises, these faculty members are expected to participate in teaching of courses, to supervise special problems, to serve as major professors, and to serve on graduate student advisory committees as opportunities arise.

Each faculty member wishing to be considered for promotion and/or tenure should submit materials according to the University's Faculty Review Checklist (Appendix B, *Faculty Handbook*), following the format exactly. The Unit may require additional documentation to satisfy their specific criteria for evaluation for promotion and tenure. Board Policy 405.1 allows promotion and awarding of tenure to be independent. Because the Faculty Review Checklist must be used when nominations are submitted to the Vice Chancellor for Academic Affairs, each Unit Head shall ask that the original submissions follow this checklist. A current resumé is also required at the Unit and College levels and is considered essential by the College Promotion and Tenure Committee in evaluating candidates.

As a matter of College policy, faculty in non-tenure-track professorial positions shall be evaluated for promotion as follows:

- (a) Faculty holding the ranks of Assistant and Associate Professor, non-tenure-track, shall be reviewed and evaluated annually by the Unit Promotion and Tenure Committee. Reviews of external peers will be used in deliberations leading to recommendations for promotion.
- (b) Faculty holding the rank of Research Professor shall be evaluated by the Unit Head and Center Director using the same procedures as for annual performance reviews for faculty holding the rank of professor.

In all other matters regarding deliberations for promotion, the process shall be as outlined for tenure-track positions. Recommendations for non-tenure track faculty employed by the Division of Agriculture shall be submitted to the Associate Vice President for Agriculture-Research which will, in turn, make a recommendation to the Vice President for Agriculture. Any exceptions to the stated policy must be approved by the Dean and on file with administration.

VI.B. Unit Heads as Candidates

When a Unit Head is being considered for promotion and/or tenure, the Dean shall appoint a faculty member outside the Unit to head the proceedings and serve in all roles designated for the "Unit Head" in the promotion and/or tenure process. Otherwise, the procedures will be the same as for any faculty member.

VI.C. Deadlines

On or before September 1 of each year, the Unit Head, with the assistance of the Unit Promotion and Tenure Committee, will determine those faculty members to be considered for promotion and/or tenure. No later than September 15, the Unit Head shall inform in writing each faculty member who is being considered for promotion or tenure. No later than October 1, any faculty member (whether so informed or not) may submit to the Unit Head a written request for nomination for promotion and/or tenure or appointment to University Professor or Distinguished Professor; such a request shall be honored by the Unit Head. In order to obtain essential outside evaluation, the Unit Head should begin discussions with individual faculty members earlier than September 15.

VI.D. Guidelines

VI.D.1. Unit

Each Unit will implement the procedures specified in this document. To complete the package of materials supporting a candidate's nomination for promotion and/or tenure, the Unit Head will solicit evaluation letters of the candidate's record from at least three and no more than five distinguished scholars or artists in the candidate's academic discipline from other institutions. Evaluators shall be chosen for their recognized expertise in the candidate's field and their ability to provide objective evaluations of the candidate's work. The Unit Head shall describe the qualifications of the

evaluators in the documentation. The candidate may submit a list of evaluators who are conversant with his/her work and performance, but the Unit Head is not bound to the list in selection of the peer evaluation group. The selection of the extramural evaluators will be made by the Unit Head.

The Unit Promotion and Tenure Committee will review each candidate's material. The committee chair will write a letter to the Unit Head (with a copy to the candidate) stating its recommendation for each candidate, including rationale for the recommendation. The letter should contain an evaluation of the record, which includes an analysis of the applicant's significant production in relation to the expected norms of the discipline. The Unit Head will notify the candidate in writing of his/her recommendation and that of the faculty committee before forwarding the materials to the Dean. If either recommendation is not favorable, the Unit Head or committee must provide the rationale for the recommendation to the candidate. At this point, the candidate may withdraw from further consideration by submitting a letter to the Unit Head. If the candidate chooses to have his/her credentials sent forward, the materials forwarded should consist of:

1. The materials supplied by the candidate,
2. The current and past job descriptions of the candidate,
3. Extramural evaluation letters with the evaluator's credentials and copies of the Unit Head's letters to the evaluators,
4. The Promotion and Tenure Committee recommendation with rationale,
5. Any response to Unit recommendations prepared by the candidate,
6. Departmental criteria and procedures used,
7. Records of annual reviews (with peer and student evaluations), including records of pre-promotional or pre-tenure reviews with advice and analysis provided to the candidate,
8. A complete resume,
9. The forms required by the University (see Appendix E).

The Unit Head's recommendation with justification shall be sent directly to the Dean and will be part of the materials reviewed by the College Promotion and Tenure Committee. If a Center or Institute Director is involved in the faculty member's

evaluation, a letter of recommendation with justification shall be a part of the packet that goes to the Department and the Dean for inclusion in the materials reviewed by the College Promotion and Tenure Committee.

The letter submitted by the Unit Head should focus on the specifics of the applicant's record, expand on items of special significance, and indicate those areas of less obvious importance. This also applies to the letter submitted by the departmental committee. The comments should include but not be limited to the following:

1. The qualitative evaluation of teaching (including advising and recruiting) and its relationship to student and peer ratings;
2. The scholarly or artistic activity (e.g., publication in peer-reviewed journals, popular releases, exhibits, presentations, grants) since hiring or last promotion;
3. Notation and full explanation of scholarly or artistic activity, including the significance of the activity and information on the nature and selectivity of the publications;
4. Interdisciplinary involvement;
5. Descriptions of evidence for state, regional, national, and international distinction;
6. Statement of expectations for outside funding in the candidate's discipline;
7. Explanation of the contribution of the applicant to co-authored publications and presentations and a statement of the professional nature and significance of the contributions;
8. Where relevant, the role of the applicant in the Unit's undergraduate and graduate programs and any limitations on participation due to circumstances in the discipline or Unit consistent with job descriptions and Unit mission;
9. Discussion of publications or presentations (invited or volunteered) recorded to indicate

the quality, the mechanism of peer review, accepted scientific status of the journal, and the acceptance by the discipline;

10. Evaluation of the service assignment and its importance to the Unit, College, and University.

VI.D.2. Dean's Office

The complete Promotion and Tenure Document(s), including nomination forms (Appendix F) must be in the Dean's office by November 15. All information outlined herein must be submitted in the appropriate Faculty Review Checklist, as designated by campus policy.

Prior to presenting the documents(s) to the College Promotion and Tenure Committee as outlined in the subsequent paragraph, the Dean may elect to confer with the faculty member and Unit Head. If a problem exists with an off-campus recommendation, the Unit Head may be asked to review the material with the Appropriate Center or Institute Director. This conference may lead to a strengthening of the recommendation or may provide an opportunity for the faculty member to withdraw. In any case, the faculty member has the right to request a review of his/her credentials, including all recommendations, by the College Promotion and Tenure Committee.

The Dean submits the materials for promotion and tenure to the College Promotion and Tenure Committee. The College Promotion and Tenure Committee reviews the case for each candidate and the Unit Head. The Dean will inform the candidate and Unit Head of his/her recommendation before forwarding any materials to the Vice Chancellor for Academic Affairs. The candidate may request, and shall receive, the Dean's rationale for such a decision. The candidate may withdraw from further consideration by notifying the Dean in writing prior to the deadline for the Dean's recommendations to be in the Office of Academic Affairs (The exact date will be specified annually.).

After review and recommendation by the Promotion and Tenure Committee and Dean and prior to forwarding materials to the Vice Chancellor for Academic Affairs, the Dean will consult with the Vice President for Agriculture to affirm consistency with the Division of Agriculture policy on split appointments (See Appendix A). The Vice Chancellor will work with the Chancellor, who in turn will make a recommendation to the University President. The University President may seek the advice of the Vice President for Agriculture before final action is taken.

VI.E. Appeals and Review

Review and appeals of promotion and tenure decisions for all faculty are outlined in the *Faculty Handbook* or Board Policy 405.1. The *Handbook* states that the candidate, upon being notified of a negative recommendation by the Vice Chancellor for Academic Affairs, may request a review by the Standing Committee on Tenure of the Campus Faculty Senate. The request shall be in writing and submitted to the Vice Chancellor for Academic Affairs (*Faculty Handbook*).