

[Header to be added back to p. 1 when notes are deleted]Notes for Committee:

1. Unit and Department/Departmental are used interchangeably in this document
2. The Unit Peer Review Committee is the departmental committee established to conduct the (state-mandated) annual peer review of each faculty member. This committee provides input to the Department Head/Chair for consideration in the faculty member's Annual Review.
3. Annual Review refers to the review and evaluation of unit faculty by the department head/chair
4. The Unit Tenured Faculty consists of all tenured faculty in a department, excluding those in administrative positions
5. The Unit Personnel Committee is the departmental committee that evaluates candidates for purposes of promotion and tenure
6. The College/School Promotion and Tenure Committee is the committee charged with evaluating candidates from that college/school for purposes of promotion and tenure.

“Evaluative Criteria, Procedures and General Standards for Initial Appointment, Successive Appointments, Annual and Post-tenure Review, Promotion and Tenure”

(Campus Faculty, May 3, 1990; Revised January 22, 1999; Corrected June 8, 1999; Revised August 20, 2001; Revised August 1, 2003; Revised May 21, 2010; Revised December 8, 2010; Revised April 14, 2011; Revised April 25, 2012; Revised October 8, 2012; Revised October 25, 2013; Revised June 18, 2014; Revised _____, 2019).

~~NOTE: - Effective September, 2008, consistent with the interpretation reflected in the statement by University of Arkansas President B. Alan Sugg, June 26, 2008, the title “provost” as used in this document will be interpreted to mean both “the provost and the vice president for agriculture” and the title “dean” will be interpreted to mean both “dean and associate vice president(s) for agriculture” for employees of the Division of Agriculture for whom this document applies.~~

These criteria, procedures, and general standards, adopted by the Campus Faculty and approved by the Chancellor and President, apply to implementation on the Fayetteville campus of Board of Trustees Policy 405.1. [They are also designed to reflect the following statement of the University’s mission and vision:](#)

The University of Arkansas is determined to build a better world by providing transformational opportunities and skills, promoting an inclusive and diverse culture, nurturing creativity, and solving problems through research and discovery, all in service to Arkansas. In pursuit of its mission, the University of Arkansas encourages all of its members to strive for excellence in public higher education, advancing Arkansas while building a better world.

I. Initial Appointment

The faculty and chairperson/head of each [department departmentunit](#) or equivalent unit shall adopt criteria and procedures for the initial appointment of all faculty members in the unit. These criteria and procedures 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. The criteria and procedures adopted by the faculty and chairperson/head shall be consistent with [applicable](#) Board [and UA System](#) policies and the following criteria and procedures.

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

1. An appropriate degree or professional experience is an essential qualification for appointment to positions at academic ranks.
2. Other important qualifications include experience in teaching, research, or other scholarly or creative activity, and educational service either at other colleges and universities and/or in non-academic settings.
3. The academic rank awarded at the initial appointment shall be consistent with prior professional experience as well as Board policies and criteria adopted by the faculty and chairperson/head of the appropriate unit.

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

In addition to the criteria specified under I.A., the following process shall be followed in making all initial appointments at or above the rank of associate professor:

Before a new faculty member shall be appointed at a rank at or above associate professor, the relevant Unit Personnel Committee and Tenured Faculty Committee must review the candidate's curriculum vitae and other relevant supporting application materials and vote on appointment at the proposed rank. The results of both votes and a letter describing the Unit Personnel Committee's rationale shall be submitted to the Unit head/chair and the College/School Dean and are to be considered in the appointment ~~decision~~ recommendation.

In addition, ~~consideration for~~ appointment at a rank at or above associate professor may require a vote and letter of rationale from the College/School Promotion and Tenure Committee if specified in the College or School policy document.

C. Criteria for Initial Appointment with Tenure

In addition to the criteria specified under I.A and ~~I.A. or I.B~~, the following process shall be followed in making all initial appointments where tenure is granted:

Before a new faculty member will be appointed with tenure, the relevant Unit Personnel Committee and Tenured Faculty Committee must review the candidate's curriculum vitae and other relevant supporting application materials and vote on the granting of tenure. The results of both votes and a letter describing the Unit Personnel Committee's rationale shall be submitted to the Unit head/chair and the College/School Dean and are to be considered in the tenure ~~granting decision~~ recommendation.

In addition, ~~the~~ consideration for granting of tenure may require a vote and letter of rationale from the College/School Promotion and Tenure Committee if specified in the College or School policy document.

D. ~~Procedures~~ Required Notification

No later than 30 days after beginning employment in connection with a first appointment, each faculty member shall be advised in writing by their chairperson/head of the criteria, workload assignment, procedures, and instruments that are to be used in assessing their work.

II. ~~Successive Appointments, and Annual Review, Peer Review, Third-Year Review Review, and Post-Tenure Review~~

~~Each faculty member not in a tenure-track position shall be evaluated by their chairperson/head, or other immediate supervisor, at appropriate intervals (normally on an annual basis) in accordance with the following criteria which are relevant to assigned activities.~~

A. Successive Appointments

1. Tenured faculty members have a right to a next successive appointment except for the reasons for termination of a tenured appointment specified by the Board of Trustees.
2. Non-tenured, tenure-track faculty do not have a right to a next successive appointment but may be offered an appointment after the expiration of a current appointment, provided it does not extend the time in probationary status beyond the limits set in Section IV.A.4 and IV.A.12 of Board Policy No. 405.1.
3. In the event that a non-tenured, tenure-track faculty member is not recommended for reappointment, the procedure described in Section IV.B of Board Policy 405.1 shall be followed.

B. Annual Review

Each continuing faculty member shall be evaluated by their chair/head, or other immediate supervisor on an annual basis in accordance with the following procedures as relevant to their assigned activities. This annual review contributes to personnel decisions such as reappointment and merit salary increases, and annual review results are also considered in making recommendations for promotion and/or tenure.

1. The faculty and chairperson/head of each unit shall adopt criteria and procedures for an annual review and evaluation of the work and status of each tenured and tenure-track faculty member in the unit. These criteria and procedures must be approved by the dean, the Provost, the Chancellor, and the President. The criteria and procedures adopted by the faculty and chairperson/head shall be consistent with Board policies and the following criteria and procedures.
2. No later than May 1 of each year, the chairperson/head shall inform each continuing faculty member in writing of their workload assignment and evaluation criteria for the next academic year, including as well as evaluation procedures and instruments for the current calendar year. Each faculty member shall also be provided with any standard review forms upon which the faculty member is expected to submit information regarding professional activities.

3. To fulfill the educational mission of the University and in the best interest of each unit, the chairperson/head may later modify a faculty member's workload assignment and evaluation criteria, if necessary. Any faculty member on a terminal appointment will not be evaluated in their terminal year. Whenever there is a change in criteria, procedures, or instruments, each faculty member shall be informed by the chairperson/head in writing within four weeks of the change.
4. No later than March 30, each faculty member's annual review shall be conducted on the basis of that the previous calendar year's workload assignment and assigned duties and according to criteria and procedures stated herein. The department head/chair shall consider the results of the faculty peer review when assessing annual performance.
By May 1 of each year, each faculty member shall be informed in writing by the chairperson of the annual review schedule, criteria, workload assignment, procedures, requirements, and instruments for the current calendar year. Each faculty member shall also be provided with any standard review forms upon which the faculty member is expected to submit information regarding professional activities.
5. The performance of each tenured and tenure-track faculty member shall be reviewed annually by their chairperson/head, provided that any faculty member on a terminal appointment will not be evaluated in their terminal year.
6. As long as it is submitted by the deadline established by the faculty and chairperson/head of the unit, each faculty member has the right to submit any material documenting the quality of their professional performance desired to be considered in the annual review.
7. The results of the annual peer evaluation, shall be made fully available to the faculty member and those conducting the review.
8. Student evaluations of teaching, including both numerical ratings and students' narrative comments, shall be made fully available to the faculty member and those conducting the review.
9. The annual review forms, recommendations, associated narratives, and all other relevant materials used in or resulting from the annual reviews of that 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 their request.
10. The responsibility for the initiation of the annual review of each tenured and tenure-track faculty member, including recommendations regarding reappointment of each non-tenured faculty member, lies with the chairperson/head. The chairperson/head shall make each recommendation

regarding reappointment (which includes recommendations for non-reappointment) of a tenure-track faculty member only after considering the written report of the Unit committee conducting the annual peer review.

11. Prior to the chairperson's/head's completion of the annual evaluation (including any recommendations based on the evaluation) in any year, the chairperson/head shall meet with the faculty member to discuss all issues related to the review; however, a tenured faculty member receiving a satisfactory evaluation may waive this required meeting. A copy of the chairperson's draft of the intended evaluation and recommendations to the dean shall be provided by the chairperson/head to the faculty member, who shall be given a reasonable opportunity to submit a written response before the chairperson/head prepares their final recommendation. A copy of the chairperson's/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.

12. Except for non-reappointment, dismissal, tenure, or promotion decisions, a faculty member claiming that an evaluation or recommendation resulting from the annual review process violates their rights under established University personnel regulations, policies, or practices, has recourse through written appeal to the ~~college or school's~~ Dean. This written appeal may request reconsideration of the evaluation by the dean, based on specific, articulated concerns. The dean shall make the final determination on the annual review. For non-reappointment, dismissal, tenure, or promotion decisions, other University policies and procedures are applicable.

~~No later than the end of the spring semester, the chairperson/head shall inform each faculty member in writing of their workload assignment and evaluation criteria for the next academic year. To fulfill the educational mission of the University and in the best interest of each unit, the chairperson/head may later modify a faculty member's workload assignment and evaluation criteria, if necessary. An important purpose of the annual review is to provide guidance and assistance to all faculty in their professional development and academic responsibilities in the areas of teaching, scholarly and creative activity, and service. Any faculty member on a terminal appointment will not be evaluated in their terminal year.~~

C. Peer Review

The purpose of the required annual Peer Review is to (a) provide feedback to the faculty member concerning their performance during that calendar year, and (b) to provide input advisory to the Unit Head/Chair in performing each faculty member's annual review.

1. Units may choose to have the Unit Personnel Committee also serve as the Unit Peer Review Committee.

- 4.2. Units may also choose to establish one elected Peer Review Committee (separate from the Unit Personnel Committee) for the purpose of conducting annual peer reviews.
- a. When a separate Peer Review Committee is established, all fulltime tenure-track and non-tenure-track faculty at or above the rank of assistant professor may vote to elect the members of the committee.
 - b. All fulltime tenure-track and non-tenure-track Unit faculty above the rank of assistant professor shall be eligible to serve on the Peer /Annual-Review Committee. In addition, tenure-track and non-tenure track assistant professors, having successfully completed three academic years of service in the Unit, shall be eligible to serve.
3. Each year, the members of the Unit Peer Review Committee shall elect a chair from among the members to coordinate the work of the committee.
4. Members of the Unit Peer Review Committee may evaluate Unit faculty at any academic rank.
5. Members of the Peer Review Committee shall not participate in their own reviews or for any colleague (such as a spouse) where there is a personal conflict of interest.
6. The committee as a whole (excepting that a member may have no input into their own peer evaluation) shall have the opportunity to provide input into each peer evaluation before it is forwarded to the Unit Head/Chair.
7. All Peer Review discussions shall remain confidential. Committee members shall not discuss deliberations outside of the meeting.
- 2.8. Operation of the Unit Peer Review Committee shall be governed by the criteria and procedures adopted by the department unit and approved as provided for above, and must be shall establish its own operating policies consistent with all applicable University policies Board Policy and University Academic Policy [insert series numbers here]. their shall

A. Third Year Review

A written review of progress toward tenure shall be made of each faculty on the tenure track during their 3rd-third year of the probationary period. As a reminder, promotion and tenure isare not automatic based on years of service or performance that is merely satisfactory. Rather, in the pursuit of excellence, promotion and tenure isare based on high levels of achievement and the trajectory toward sustained success over a career.

Third year review dossiers should follow have the same general content and structure as utilize standard promotion and tenure packets. All dossiers should include material documenting the following:

1. Progress in teaching including student feedback (or progress in professional practice in the case of faculty with non-teaching titles)
2. Progress in all service activities
3. Progress in scholarly/creative activities including external funding if appropriate

Third year reviews should be conducted by Chairs/Heads of the academic unit after input from the faculty of that academic unit.

Assessment of performance in the third-year review includes three options:

1. Currently making satisfactory progress - appointment is continued for 4th and 5th years, subject to all University policies;
2. Appointment is continued for 4th year, subject to all University policies and a required 4th year review. Department Chair/Head will address weaknesses;
3. Notice of non-reappointment, subject to procedures outlined in Board Policy 405.1(IV)(B), with the 4th year as the terminal year.

B. Post-Tenure Review

As described in Section V. A. of Board Policy 405.1, every year the performance of every tenured and tenure-track faculty member (including chairs/heads) at the University of Arkansas, Fayetteville, is reviewed and evaluated by their academic unit. Based on this annual review and evaluation personnel decisions such as reappointment, merit salary increases, and promotion are made. Overall unsatisfactory performance means that the faculty member's performance as a whole is unsatisfactory, taking into consideration the faculty member's workload assignment areas (teaching, research/creative activity, service) and overall contributions to the academic unit. Overall unsatisfactory performance may be a reflection of unacceptable performance in multiple areas or notably poor performance in one area. When the overall performance of a faculty member during the preceding calendar year is evaluated as unsatisfactory, the faculty member is informed by their department chair/head of this finding. Overall unsatisfactory performance means that the faculty member's performance as a whole is unsatisfactory, taking into consideration the faculty member's workload assignment areas (teaching/professional practice, scholarly/creative activity, service) and overall contributions to the academic unit. Overall unsatisfactory performance may be a reflection of unacceptable performance in multiple areas or notably poor performance in one area. Before making a determination of overall unsatisfactory performance, chairs/heads shall consider evidence of relevant, documented efforts and outcomes within the context of the faculty member's assigned workload percentages.

Effective July 1, 2019, campus procedures shall require that any tenured faculty member who receives an overall unsatisfactory performance rating be placed on a remediation plan. The remediation plan shall be developed by the faculty member's department chair/head and the academic unit Personnel Committee (or Peer Review Committee, if one has been established) in consultation with the faculty member and shall include remedial measures, ~~with~~including specific measurable outcomes ~~when appropriate~~, designed to address the overall performance deficiencies, with the expectation that carrying out the plan will lead to an overall satisfactory performance rating. If, in the next annual review following an overall unsatisfactory performance rating, the faculty member fails either to attain an overall satisfactory performance rating or to demonstrate meaningful progress in remediating the overall performance deficiencies (as assessed in accordance with the ~~specific, measurable~~ outcomes specified in the remediation plan), the faculty member may be issued a notice of dismissal on twelve months' notice as provided for in this policy, and subject to the procedures contained in UA Board Policy 405.1, ~~Section IV.C.~~

AF. Criteria for Assessing Faculty Performance

Each faculty member shall be evaluated on the basis of achievement in the areas of (a) teaching (or professional performance, in the case of the faculty members with non-teaching titles (e.g. in the Library, the Cooperative Extension Service, Instructional Development, or the Museum)), (b) scholarly or creative activities, and (c) academically related service.

Each faculty member should be actively engaged as a collegial contributor to the life of the academic unit (e.g., department, school, college, university) and should exhibit respect and cooperation in shared academic and administrative tasks.

Each unit shall develop procedures for peer evaluation appropriate to its mission. The annual review of each faculty member with a teaching assignment shall include evaluation by students.

1. ~~4.~~ Evidence of Achievement in Teaching or Professional Performance. ~~may include, among other items:~~ In every case for appointment, reappointment, promotion, or advancement to tenure, achievement in teaching or professional performance is essential.

Teaching:

Evidence of achievement in teaching should take into account the level and type of courses taught, the course delivery method, and the percentage of faculty time devoted to teaching and/or advising. Faculty must provide item a.i. from the list below and at least one additional item of evidence from a, b, or c below; however more items may be added.

Evidence from these sources may include:

Aa.) Students

- i. Qualitative and quantitative data from all electronic course evaluations and any other evaluations completed by students as specific to the unit.
- ii. Evaluation from former students addressing the candidate's instructional performance and effectiveness in learning course material garnered by exit interviews, letters of recommendation, or other methods specific to the unit.
- iii. Evidence of effectiveness in direction of research of undergraduate, graduate, and postdoctoral students including student completion, placement, achievements, and publications.
- iv. Evidence of effective participation in unit examination activities such as written and oral examinations for honors or graduate degree candidates.
- v. Performance of students on uniform examinations or in standardized courses.
- vi. Evidence of effective advising and mentoring, both formal academic advising and mentoring of individual students.
- vii. Evidence-based measurements of student learning (such as pre- and post-testing or student work samples) that meet defined student learning outcomes.

b. Other Faculty

- i. Evaluation (by peers and/or administrators) of course materials, learning objectives, assignments, syllabi, and/or a teaching portfolio.
- ii. In-class visitation and evaluation of instruction by peers and/or administrators.
- iii. External evaluation of teaching by evaluators knowledgeable about teaching and/or research in the faculty member's specific discipline either in-person or through recorded means.

c. Instructor

- i. Self-assessment of teaching such as a teaching portfolio that includes but is not limited to teaching materials, instructional techniques, innovative assignments, course structures or pedagogy, teaching philosophy statements, and/or responses to student and peer evaluations. Although a teaching portfolio is recommended, other methods of self-assessment can be used as directed by the unit.
- ii. Evidence of curriculum development and interdisciplinary program participation including but not limited to:
 - a.) Development and improvement of teaching laboratories.
 - b.) Continuous improvement of courses on a regular basis and/or the creation of new courses.

- c.) Development and improvement of distance learning.
- iii. Design and implementation of individual study courses
- iv. Evidence of participation in the scholarship of teaching including but not limited to:
 - a.) Publications (textbooks, abstracts, articles, or reviews).
 - b.) Conference presentations.
 - c.) Grants/contracts to fund innovative teaching activities/course development.
 - d.) Participation in teaching conferences.
- iv.v. Other professional development activities that support teaching.
- vi. Recognition of teaching/advising including awards, election to offices, committee activities, and other service to professional associations as related to teaching.

Teaching materials such as course outlines, examinations, and supplementary materials.

Evidence of effectiveness in direction of research of undergraduate, graduate, and postdoctoral students.

Evidence of participation in unit examination activities, such as written and oral examinations for honors or graduate degree candidates.

Self-evaluations.

Professional Performance (in the case of faculty with non-teaching titles):

Evidence of achievement in professional performance should take into account the level and type of professional responsibilities, the percentage of faculty time devoted to various professional responsibilities, and may include evidence from supervisors, peers, clients, and self-evaluation. Evidence may include, among other items:

- a. Annual ratings by supervisors.
- b. Evidence of expertise in the area of professional responsibility and effectiveness in carrying out assigned duties.
- c. Evidence of ability and willingness to accept additional responsibility and/or leadership.
- d. Evidence of cooperation in dealing with personnel at all levels.
- e. Evidence of efforts at self-improvement.
- f. Evidence of innovations in program implementation.

- g. Evidence of the development of special projects, resource tools, and/or the use of creative techniques in the performance of duties.
- h. Evidence of initiative and resourcefulness in solving unit problems.
- i. Evidence of ability to communicate effectively orally and in writing.
- j. Evaluations by clientele.
- k. ~~Self-evaluations~~Self-evaluations.

2. ~~Evidence of scholarly or creative activities may include, among other items:~~Evidence of Achievement in Scholarship or Creative Activities.

In every case for appointment, reappointment, promotion, or advancement to tenure, achievement in scholarship or creative activities is essential, and quality and impact are of the essence. In every case it is the responsibility of the ~~appropriate group of faculty reviewers~~ to arrive at a judgment of the importance, originality, influence, sustained, and future promise of the candidate's body of work. The University process utilizes evaluations by outside experts in the formation of this judgment.

Assessments of scholarly contributions should consider the varying levels of depth, complexity, competitive rigor, and impact of achievements. Scholarly contributions that may be recognized include the following. This list is not exhaustive. Assessments of scholarly contributions should consider the varying levels of depth, complexity, competitive rigor, and impact of achievements.

- a. Books, essays, articles, or bulletins reporting the results of original research.
- b. Novels, poetry, plays, exhibitions, or musical compositions.
- c. Musical performances, workshops, recitals, or theatrical productions.
- d. Visual arts, paintings, sculptures, videos or other media.
- e. Patents, processes, or instruments.
- f. Commercialization of discoveries or ideas.
- g. Scientific expeditions.
- h. Designs and built works.
- i. Technology development and applications.

Evidence and context used in judging the quality of scholarship include the following items. This list is not exhaustive.

- a. Publication by respected academic journals and publishing houses that accept work only after review and approval by experts.
- b. Published reviews by experts.
- c. Citations in research publications and other evidence of significance.
- d. Awards for excellence, especially from national or international academic organizations.
- e. Significance of completed performances, presentations, exhibitions, workshops, recitals, or lectures.
- f. Awards of grants and contracts that indicate recognition of research achievement or capability.
- g. Economically significant commercialized patents, ideas, or discoveries.
- h. Impact on public policy or practice.

~~1. Publications of papers, books, and similar items.~~

~~2. Evidence of research, either funded or unfunded.~~

~~—Evidence of awards, including funding of research proposals by external agencies after competitive review.~~

~~3. Evidence of intellectual property developed.~~

~~4. Evidence of performances, presentations, concerts, and other creative activities in the fine and performing arts.~~

~~5. Papers presented at professional meetings and seminars.~~

~~6. Technical reports on research projects completed or in progress.~~

~~7. Evidence of professional recognition by outside agencies, groups, or other individuals in the field.~~

~~8. Self evaluations.~~

3. Evidence of **A**cademically-**R**elated **S**ervice.
~~activities may include, among other items:~~

A faculty member's academic service to the community or to the profession beyond the campus may confirm stature in scholarship and teaching, may enliven the intellectual climate on campus, and may improve opportunities for students and ~~other~~ faculty colleagues.

Evaluations of high-quality contributions of service are valued and may have weight in decisions on appointment, reappointment, promotion, and advancement to tenure.

Academic related service that may be recognized follows. This list is not exhaustive.

- a. Membership and leadership in committee service for the department, college/school, or university.
- b. Membership and leadership in ~~Campus Governance: Faculty Senate, Campus Council, other campus governance bodies.~~
- c. Membership and leadership in a professional organization.
- d. Editorship or editorial board membership.
- e. Refereeing or reviewing manuscripts or grant proposals.
- f. Participation ~~on an~~ certification boards.
- g. Expert advice to professions, businesses, ~~agencies,~~ associations community organizations, or government agencies.
- h. Organization ~~of a~~ conferences or other events.
- i. Appointments ~~to a~~ governmental agencies.
- j. Appointments ~~to an~~ administrative positions with service beyond duties with the university.
- k. Service as ~~a~~ Advisor to ~~a~~ student organizations ~~or academic expertise with a community organization.~~
- l. Contributions toward professional development of faculty
- m. Judging student or professional competitions.
- n. Service rendered to ~~the~~ community as a part of courses taught.

Evidence and context used in judging the quality of service ~~are as follows~~ include the following; ~~t~~. This list is not exhaustive.

- a. Significant service to the program, department, college/school, or university.
- b. Awards, honors or special recognition for service.
- c. Significant service to professional organizations.
- d. Significant academic related service to the community.
- e. Editorial board membership or manuscript reviewer.
- 1. Evidence of activities intended to enhance public understanding of the University or activities intended to develop the service function of the University.
- 2. Evidence of involvement in the work of professional societies.
- 3. Evidence of committee activities at the University.
- 4. Evidence of participation in activities in connection with funding agencies.

~~5. Evidence of service to the public through consulting or other activities in the area of academic or professional competence of the faculty member.~~

~~6. Self evaluations.~~

~~B. Procedures for Tenured and Tenure-Track Faculty~~

~~1. No later than 30 days after beginning employment in connection with a first appointment, each new faculty member shall be advised in writing by their chairperson/head of the criteria, procedures, and instruments that are to be used in assessing their work.~~

~~2. By May 1 of each year, each faculty member shall be informed in writing by the chairperson of the annual review schedule, criteria, workload assignment, procedures, requirements, and instruments for the current year. Whenever there is a change in criteria, procedures, or instruments, each faculty member shall be informed by the chairperson/head in writing within four weeks of the change. Each faculty member shall also be provided with any standard review forms upon which the faculty member is expected to submit information regarding professional activities.~~

~~3. The performance of each tenured and tenure-track faculty member shall be reviewed annually by their chairperson/head.~~

~~4. As long as it is submitted by the deadline established by the faculty and chairperson/head of the unit, each faculty member has the right to submit any material desired to be considered in the annual review. **including both numerical ratings and students' narrative comments,**~~

~~5. The annual review forms, summaries of annual discussions between the chairperson/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 their request.~~

~~6. The responsibility for the initiation of the annual review of each tenured and tenure-track faculty member, including recommendations regarding reappointment of each non-tenured faculty member, lies with the chairperson/head. The chairperson/head shall make each recommendation regarding reappointment (which includes recommendations for non reappointment) of a tenure-track faculty member only after consultation with an elected unit committee. (Note that this provision requires that all departments have an elected department peer review committee hereinafter called the unit committee.)~~

~~7. Before submitting to the dean his or her recommendation and that of the unit committee or group, the chairperson/head shall meet with the faculty member to discuss all issues related to the review; however, a tenured faculty member receiving a satisfactory evaluation may waive this required meeting. A copy of the summary of the discussion and a copy of the chairperson's draft of the proposed recommendation to the dean and of the committee's recommendation shall be provided by the chairperson/head to the faculty member, who shall be given a reasonable opportunity to submit a written response before the chairperson/head prepares his or her final recommendation. A copy of the chairperson's/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.~~

~~8. Except for non-reappointment, dismissal, tenure, or promotion decisions, a faculty member claiming that a recommendation resulting from the annual review process violates his or her rights under established University personnel regulations, policies, or practices, has recourse or school's through the Faculty Grievance Procedure of the University. For non-reappointment, dismissal, tenure, or promotion decisions, other University policies and procedures are applicable.~~

~~C. Post-Tenure Review~~

~~As described in Section V. A. of Board Policy 405.1, every year the performance of every tenured and tenure-track faculty member at the University of Arkansas, Fayetteville, is reviewed and evaluated by his/her academic unit. Based on this annual review and evaluation, personnel decisions such as reappointment, merit salary increases, and promotion are made. When the performance of a faculty member during the preceding calendar year is evaluated as unsatisfactory, the faculty member is informed by his/her department chair/head of this finding as well as what corrective actions are to be undertaken during the current year.~~

~~**When the annual review of a tenured faculty member results in an overall rating of 'unsatisfactory' in two consecutive annual reviews, or three of five consecutive annual reviews, action to improve his/her performance to the satisfactory level will be taken. Such recommendation shall originate with the faculty member's chairperson in consultation with the unit committee, in accordance with annual review criteria, procedures, and standards of satisfactory performance as determined at the department level. (Note that this policy requires all departments to define 'satisfactory' and 'unsatisfactory' in their departmental procedures if they have not already done so.) Within a reasonable period of time (including time for the faculty member to file grievances for the unsatisfactory ratings if desired), the department chair/head shall notify the faculty member in writing that a 'professional development plan' must be activated.**~~

~~The professional development plan is a process for improving the faculty member's performance of his/her/their academic responsibilities in teaching, and/or research and creative activities, and/or service in a period of three years, or less if the faculty member requests it. In the case of extenuating circumstances as defined in Section IV. A. 4 of Board Policy 405. 1, the faculty member may request extension of the faculty development plan period by one year. The professional development plan is prepared by the faculty member, the department chair/head, and the unit committee, with the consultation and approval of the dean. Among options for the professional development plan are (1) change in assignment more appropriate to existing skills; (2) establishment of expertise in an area through scholarly activity; (3) taking a leave of absence to obtain new skills or update existing skills; and (4) a plan of improvement in teaching, research, and/or creative activities, and service.~~

~~The faculty member must demonstrate satisfactory progress in the professional development plan to the unit committee, the department chair and the dean of the college as part of the annual review process. In the event that the faculty member fails to demonstrate the required improvement as indicated in the professional development plan by the completion of the development plan period, the dean may recommend a one-year terminal contract and dismissal for cause, after which the dismissal process outlined in Board Policy 405.1 will be followed (as defined in Section IV. C of the policy).~~

IIII. Promotion

Promotion shall be based primarily upon the accomplishments of the individual while in the most recent rank. Promotion is a distinct honor and is not based upon length of service. [The University seeks to develop and sustain nationally and internationally prominent programs in teaching and research. A faculty dedicated to high standards is essential to this effort. The University's standards for promotion reflect these high expectations.](#)

No minimum time in rank is required before a faculty member is eligible for promotion.

[In addition to any criteria established by the campus concerning research, teaching and service, all candidates for promotion and tenure are expected to be in substantial compliance with applicable University policies and legal requirements.](#)

The faculty and chairperson/head of each unit shall adopt criteria and procedures for promotion to each rank. These criteria and procedures must be approved by the dean, the Provost, the Chancellor and the President. [Campus and unit criteria and procedures must be consistent with Board Policy 405.1 and other applicable University -of Arkansas System policies. The criteria and procedures adopted by the](#)

~~faculty and chairperson/head shall be consistent with Board policies and the following criteria and procedures.~~

A. Criteria for Promotion

Each faculty member who is being considered for promotion shall be evaluated on the basis of achievement in the areas of (a) teaching (or professional performance, in the case of the faculty members with non-teaching titles in the Library, the Cooperative Extension Service, Instructional Development, or the Museum), (b) scholarly or creative activities, and (c) academically-related service.

Each faculty member should be actively engaged as a collegial contributor to the life of the academic unit (e.g., department, school, college, university) and should exhibit respect and cooperation in shared academic and administrative tasks.

Although the criteria ~~for promotion may resemble~~ are similar to those used in annual ~~reappointment ee~~ evaluations, the relative emphasis ~~and the~~ levels of achievement, and cumulative impact required for promotion, as opposed to reappointment, promotion and reappointment may differ.

1. Promotion from Assistant to Associate Professor (with tenure, if applicable)

In order to merit promotion from assistant professor to associate professor (and be granted tenure, if applicable), the candidate must document high-quality impact in both teaching and research or other scholarly activities as appropriate to the discipline. In addition, the candidate must document adequate/satisfactory service to the university, discipline, profession, or public. Candidates must be effective researchers and teachers and show a pattern of accomplishments in scholarship that indicates progress toward a national or international reputation in their discipline. Individual cColleges or sSchools may adopt additional or more specific requirements in their approved policy documents.

No tenure-track faculty member shall be promoted to the rank of associate professor without also being granted tenure. (This does not preclude a faculty member from being hired into a tenure-track position with the rank of associate professor or full professor if they satisfy the applicable criteria.)

2. Promotion from Associate to Full Professor

In order to merit promotion to full professor, the candidate must document continuous and high-quality impact in both teaching and ~~service~~ research or other scholarly activities as appropriate to the discipline. In addition, the

candidate must document satisfactory academic service to the university, discipline, profession, or public. Candidates must be effective researchers and teachers and demonstrate a pattern of distinguished accomplishments in scholarship that indicates achievement of a national or international reputation in their discipline. Individual Colleges or Schools may adopt additional or more specific requirements in their approved policy documents.

3. Promotion from Professor to University Professor or Distinguished Professor

Specific criteria for promotion to University Professor or Distinguished Professor are contained in Board Policy 470.1 and Academic Policy 1405.13.

~~The criteria for the granting of promotion are the same as the criteria for reappointment contained in Section II.A of this document.~~

B. Procedures for Promotion of Tenured and Tenure-Track Faculty

1. No later than 30 days after beginning employment in connection with a first appointment, each faculty member shall be advised in writing by ~~his or her~~their chairperson/unit of the criteria, workload assignment, procedures, and instruments that are to be used in assessing ~~his or her~~their work.
2. By May 1 of each year, each faculty member shall be informed in writing by the chairperson of the promotion and tenure review schedule, criteria, procedures, requirements, and instruments for the current year. Whenever there is a change in criteria, workload assignment, procedures, or instruments, each faculty member shall be informed by the chairperson in writing within four weeks of the change. Each faculty member shall also be provided with any standard review forms upon which the faculty member is expected to submit information regarding professional activities and shall be informed that ~~he or she~~they may submit as a part of ~~his or her~~their promotion/tenure packet a written list of three to five potential reviewers with a brief rationale for each nominee.
3. The performance of each tenured and tenure-track faculty member shall be reviewed annually by ~~his or her~~their chairperson/head.
4. As long as it is submitted by the deadline established by the faculty and chairperson/head of the unit, each faculty member has the right to submit any material ~~desired to be considered~~documenting the quality of

their performance in research, teaching, and service in the annual review, including for promotion determination.

5. The annual review forms, recommendations, associated narratives, summaries of annual discussions between the chairperson/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/their request.
6. In the spring semester, With the help of the unit committee, the chairperson-chair/head shall begin, with input from the Unit Personnel Committee, in the fall spring semester prior, consideration of whom to nominate for promotion that year. No later than May 1, the chairperson chair/head shall inform in writing each faculty member who is being considered for promotion that he or she is/they being are being considered. No later than May 5, any faculty member (whether so informed or not) may request in writing to the chairperson to be nominated for promotion that year; such request shall be honored by the chairperson/head.
7. The chairperson/head shall ask each individual to be nominated for promotion to submit material which he or she/they believes will facilitate consideration of his or her/their competence and performance. Since this recommendation includes material back to the time of initial appointment or last promotion, the candidate should consider these items and begin accumulation of appropriate material at that time.
8. The candidate and the chairperson/head should take the necessary steps to einure that the file of supporting material is as complete as possible to facilitate a thorough and fair evaluation. The completed file of materials must be uploaded to the designated site no later than 5:00 p.m. on or before August 10. No new material shall be included in the files for promotion and/or tenure without the knowledge of the candidate after the department or unit submits the file to the college or school August 10, except as described in item III.B.9-
9. The candidate shall be allowed to add a maximum of three written statements to correct errors of fact or to update the packet concerning a final decision on a proposal, article or book submission, or similar significant scholarly work, so long as the item was included in the initial file. Such additions shall only be made up to a maximum of five workingbusiness days after the candidate receives: (a) all redacted letters from outside reviewers; (b) the recommendation letters from both the Unit Personnel Committee and the Unit head/chair; and (c) the

recommendation letters from both the College/School Promotion and Tenure Committee and the College/School Dean. Except for these three specific instances a candidate shall not add to their packet once the deadline for initial submission has passed.

10. Each ~~It is recommended that a candidate's packet should include~~ ~~are~~ ~~should be taken to include~~ the following materials along with all documentation relative to satisfaction of the unit criteria:

- a. A description of responsibilities with breakdown of teaching, research, and service assignments each semester since the initial appointment or the last promotion, whichever is pertinent. This material should address the need for untenured faculty in particular to be given assignments which provide an opportunity to satisfy the criteria under which they will be judged.
- b. A statement of department criteria for promotion and/or tenure.
- c. Any employment correspondence between the faculty member and ~~his or her~~their supervisor that clearly indicates job responsibilities. This includes the annual faculty workload assignments. In the absence of written confirmation to the contrary, heavy teaching and/or service loads do not mitigate the necessity for research and publication.
- d. Copies of all annual review forms, recommendations, and associated narratives since the initial appointment or the last promotion. Each summary annual review should include a clear statement that the candidate is or is not making satisfactory progress towards promotion and/or tenure, why, and what remedial steps, if any, are recommended. ~~These summaries of progress towards promotion/tenure should be related to the annual evaluations.~~
- e. Summary of student evaluations (including quantitative and qualitative data) and other evidence of teaching effectiveness. The student evaluations should be based on responses using the instruments and procedures selected by the candidate's unit. The summary should cover all classes taught by the candidate since the initial appointment or the last promotion, whichever is pertinent. Candidates may elect to shall include at least one item of additional evidence of teaching effectiveness from students, faculty peers, or self as described in II.FD.1.(a, b or c).

f. External Review Letters. The purpose of impartial outside reviews is to provide an independent, unbiased evaluation of the impact of the candidate's scholarly, teaching, and service attainment in the discipline or achievement in professional performance. External evaluators may be asked to focus on the impact of research, professional performance, teaching, or service depending upon the nature of the appointment and criteria for promotion within the unit.

~~For those instances in which the individual is at the time limit for tenure, special justification should be given recommendations to tenure without promotion.~~

- i. A minimum of three letters from impartial outside reviewers at peer or aspirant institutions will be included. External reviewers should possess credentials that will demonstrate their expertise in evaluating the impact of the candidate's work within the context of the discipline or profession. Impartial outside reviewers are those who lack a familial relationship with the candidate, who lack a former student/teacher relationship with the candidate, who have not collaborated on grants or publications, and who lack any apparent or actual conflict of interest. The candidate shall not solicit or contact potential or actual external reviewers.
- ii. In cases where it is impossible to secure qualified reviewers who have not collaborated with the candidate on grants or publications, as specified in the preceding paragraph, the department head/chair may write a letter to the College/School dean explaining the situation and asking that an exception be made. The dean, after consulting with the College/School Promotion and Tenure Committee, shall decide whether or not to grant the exception. A copy of the dean's letter (whether positive or negative) shall be included in the external review section of the candidate's packet.
- iii. To assist in maintaining reviewer confidentiality, the candidate and the department Personnel Committee will each identify four (4) or five (5) appropriate reviewers. (The department Personnel Committee may, at their discretion, seek suggestions from the department chair/head about potential reviewers.) The candidate will be shown the complete list of potential reviewers and can strike any 2 reviewers within 5 ~~working-business~~ days of seeing the list. The departmental Personnel Committee will select a minimum of 3 reviewers from the combined accepted lists, including at least one reviewer from the candidate's list and at least one from the Personnel Committee list. The

candidate will not be told of the final composition of the list of reviewers. The Unit Head/Chair/Dean is responsible for contacting the final list of reviewers.

- iv. Each college shall determine the relevant dimensions to be addressed by external reviewers for promotion to each rank and shall create a list of the materials that will be sent to external reviewers for their review of each dimension (e.g., tenure checklist, some number of publications, student course evaluations, etc.). The candidate's annual review documents as submitted by the unit head are part of the candidate's private personnel file and may not be among the materials sent to external reviewers.
- v. Each college shall create a template letter to be used to solicit external reviewers. The template may be modified as needed based on the nature of appointment and rank of the candidate. Although minor style changes are acceptable the confidentiality statement must be kept as written. External reviewers should be reminded to address all the dimensions of the review. The text of the letter of solicitation is to be made available to the candidate before it is sent to prospective external reviewers.
- vi. All external reviewer letters received must be included in the packet along with a short vita or bio for each from the external reviewers indicating areas of expertise, scholarly achievements and stature in the discipline. The reviews should be based on the evaluator's knowledge of the complete record of the candidate, including a description of responsibilities in the areas of teaching, research, and service assigned during the time period being evaluated. Candidates have the right to review the comments/written narratives of the external reviewers' letters. However, the reviewers' identifying information (letterhead, signature, etc.) will be redacted to provide the reviewer some confidentiality. Letters requesting a review by external constituents shall contain the following confidentiality statement:

"The University of Arkansas makes every effort to maintain the anonymity of external reviewers. Under University policy, candidates for promotion and/or tenure will consider a list of potential reviewers from which final reviewers are selected (but remain unknown to the candidate). Additionally, candidates for tenure and/or promotion may read the external letters of review, but identifying information, such as

the letterhead and signature, will be redacted. In the event a candidate requests a copy of an external review letter under the Arkansas Freedom of Information Act, s/he would be entitled to receive a copy of the unredacted recommendation as a part of their personnel file."

~~e.—~~

~~f.— A minimum of three letters from impartial outside reviewers at peer institutions will be included. Qualified, impartial outside reviewers are those who lack a familial relationship with the candidate, who lack a former student/teacher relationship with the candidate, and who lack any apparent or actual conflict of interest. To assist in maintaining reviewer confidentiality, the candidate, the departmental promotion and tenure committee and/or the personnel committee (the department committee may seek suggestions from the department chair/head for reviewers) will each identify 3 to 5 appropriate reviewers. The candidate will be shown the list of potential reviewers and can strike any 2 reviewers within 5 working days of seeing the list. The departmental promotion and tenure committee will select a minimum of 3 reviewers from the combined accepted lists including at least one reviewer from the candidate's list and at least one from the promotion and tenure committee list. The candidate will not be told the final composition of the list of reviewers. Letters requesting a review by external constituents should contain the following confidentiality statement:~~

~~g.—~~

~~h.— Thank you for your willingness to serve as an external reviewer...~~

~~i.—~~

~~j.— (Statement on confidentiality in letter to reviewer)~~

~~k.—~~

~~l.— The University of Arkansas makes every effort to maintain the anonymity of external reviewers. Under University policy, candidates for promotion and/or tenure will consider a list of potential reviewers from which final reviewers are selected (but remain unknown to the candidate). Additionally, candidates for tenure and/or promotion may read the external letters of review, but identifying information, such as the letterhead and signature, will be redacted. In the event a candidate requests a copy of an external review letter under the Arkansas Freedom of Information Act, s/he would be entitled to receive a copy of the unredacted recommendation as a part of his or her personnel file.~~

~~m.—~~

~~n.— All reviewer letters must be included in the packet as well as a short vita from the outside reviewers. The reviews should be based on the evaluator's knowledge of the complete record of~~

~~the candidate, including a description of responsibilities with a breakdown of teaching, research, and service assignments during the time period being evaluated. Candidates have the right to review the comments/written narrative of the outside reviewers' letters. However, the reviewers' identifying information (letterhead, signature, etc.) will be redacted to provide the reviewer some confidentiality.~~

~~e. g.~~

~~g. The candidate's file of supporting material, written evaluations from outside reviewers, and any other relevant material shall be evaluated by the unit committeeUnit Personnel Committee. After both meeting and voting independently of the department chairpersonchair/head, the unit committeeUnit Personnel Committee shall make its recommendation and recorded vote in writing and forward it to the chairperson and the tenured unit faculty along with a written statement of the unit committeeUnit Personnel Committee's rationale for its recommendation. The unit committeeUnit Personnel Committee shall send a copy of its recommendation and statement of rationale to the candidate. (A 'positive recommendation' is a recommendation to promote; a 'negative recommendation' is a recommendation not to promote.)~~

~~11. 11. Each academic unit and the library will establish a single, elected Unit Personnel Committee for the purpose of evaluating and voting on all promotion and tenure (as appropriate) cases originating in the Unit. This Unit Personnel Committee shall consider both tenure-track and non-tenure-track candidates.~~

~~a. Fulltime Unit faculty at or above the rank of assistant professor are eligible to vote when electing members of the Unit Personnel Committee. [If appropriate to the size of the department and consistent with detailed consideration of matters by the committee, a unit may, through its approved policies and procedures, designate that its Promotion and Tenure CommitteePersonnel Committee shall include all eligible tenured faculty.~~

~~b. Fulltime Unit faculty members at or above the rank of associate professor are eligible to serve on the Unit Personnel Committee, with two exceptions: (1) department heads or chairs are not eligible to serve and (2) a faculty member who has received notification of non-reappointment or termination is not eligible to serve.~~

~~a.c.~~ _____ The Unit Personnel Committee must have at least one non-tenure-track member, if the Unit has non-tenure-track faculty eligible to serve. Non-tenure-track Unit Personnel Committee members shall not vote on the awarding of tenure or on the promotion of tenure-track candidates.

~~b.d.~~ _____ Members of the Unit Personnel Committee shall not vote on any candidate for a rank higher than the committee member's rank, except that professors shall be allowed to vote on candidates for University Professor and Distinguished Professor.

~~e.e.~~ _____ The Unit Personnel Committee considering any candidate for promotion and/or tenure must consist of not less than three eligible and voting members. In any case where a minimum of three Unit Personnel Committee members are not both eligible and intending to vote on any candidate, the Unit Personnel Committee chair, the Unit chair/head, and the Dean of the College/School shall, working together and with input from the candidate, shall select and secure one or more eligible members from related disciplines outside of the Unit to serve on the committee for that candidate. The number of outside committee members appointed to the Unit Personnel Committee shall not exceed the number required to ensure three eligible and voting members for all candidates.

~~Outside committee members shall not review any documentation, be present for any discussion, or vote on any candidate where three Unit Promotion and Tenure Committee members are both eligible and intending to vote.~~

~~f.~~ _____ Each member of a Unit, College, or University Personnel or Promotion and Tenure Committee is expected to carefully consider and render either a positive or a negative vote on each candidate being considered for promotion and/or tenure, subject to restrictions specified in ~~[voting eligibility policy]~~this section. Committee members have a responsibility to vote. All voting shall occur by secret ballot.

~~g.~~ When voting as a member of any Personnel or Promotion and Tenure Committee (at the Unit, College, or University level) or Unit Tenured Faculty Committee, a member may cast one of two legitimate votes: Yes (affirmative) or No (negative). When any committee member (at the Unit, College, or University level) believes they have a conflict of

interest with regard to any candidate, the committee member shall state that such a conflict exists and shall recuse ~~themselves~~ from all discussion and voting on that candidate. The recusing committee member shall ~~be absent from~~~~absent themselves from~~~~exit~~ the meeting during discussion and voting on that candidate. The committee member is not obligated to state the nature of the conflict of interest. When counting and recording committee votes, any recusing member shall be considered as absent for that vote, reducing the total recorded committee vote by the number of recusals.

- h. Elected members of the Unit Personnel Committee shall be allowed to discuss and vote on candidates as part of the Tenured Faculty Committee (if qualified to serve).
- i. A member of the College or School Promotion and Tenure Committee shall not vote on any candidate from their unit during the College or School Committee meeting. However, members shall be allowed to participate in all discussions concerning candidates from their unit during the College or School Committee meeting.
- j. Members of the University Committee on Appointment, Promotion and Tenure may discuss but shall not vote on any candidate on whom they have previously voted during the current promotion and tenure cycle.
- k. All committee discussions and votes shall remain confidential. Committee members shall not discuss committee votes or committee deliberations with candidates or other colleagues outside of the meeting. The recommendations and rationale concerning any candidate shall only be communicated through the appropriate voting form and the committee chair's official letter.
- l. Each College/School or Unit may develop additional, specific policies concerning the Unit Personnel Committee so long as these policies do not conflict with [Academic Policy 1405.11](#)~~this policy~~.

~~12.102. Similarly, t~~The candidate's file of supporting material, written evaluations from outside reviewers, any other relevant material evaluated by the ~~unit committee~~Unit Personnel Committee, and the

~~unit committee~~Unit Personnel Committee's recommendation and recorded vote shall be evaluated by the unit's tenured faculty. After both meeting and voting independently of the chairperson, the unit tenured faculty shall make its recommendation and numerically recorded vote in writing and forward it to the chairperson. A copy of the tenured faculty's recommendation and numerically recorded vote must be sent to the candidate.

13. ~~113. In like fashion, t~~The candidate's file of supporting material, outside reviews, the written recommendation of the ~~unit committee~~Unit Personnel Committee, the recommendation of the tenured faculty, and any other relevant material shall be evaluated by the ~~chairperson~~chair/head in deciding whether to make a positive or negative recommendation. The chair/~~head~~person shall inform the faculty member in writing of ~~his/her~~their recommendation and the rationale for the recommendation.
14. ~~1214.~~ Prior to the time the ~~chairperson~~chair/head forwards the nomination to the dean, the faculty member may withdraw from further consideration. Such withdrawal shall be in writing to the chairperson.
15. ~~1315.~~ Each nomination shall be forwarded to the dean in writing by a date to be established by the college or school between October 22 and November 20 and shall be accompanied by the chair/~~person~~'s/head's recommendation and the candidate's file of supporting material, including all materials provided to the chair/~~head~~person by the faculty member. Any recommendation shall also be accompanied by a written statement of the chair/~~person~~'s/head's rationale for the recommendation as well as the ~~unit committee~~Unit Personnel Committee's written recommendation, vote, and rationale and the tenured faculty's recommendation and recorded vote.
16. ~~1416.~~ Each college or school shall provide for a formal review of all nominations for promotion by a review committee elected by the faculty of the respective college or school. Upon receiving each nomination, the dean shall provide the review committee with all materials submitted by the chair/~~person~~head together with any other materials submitted by the candidate. The department/unit chair/~~person~~head and ~~unit committee~~Unit Personnel Committee should be informed of any additional material submitted by the candidate. After both meeting and voting independently of the dean, the review committee shall make its recommendation and recorded vote in writing and forward it to the dean of the college or

school along with a written statement of the review committee's rationale for its recommendation. The review committee shall send a copy of its recommendation and statement of rationale to the candidate.

~~15. If the unit chairperson/head makes a negative recommendation, the review committee described in the preceding paragraph shall (at the time it decides whether to recommend the candidate's promotion) also decide whether to ask the unit chairperson to reconsider his or her recommendation. If the review committee asks for a reconsideration, the unit chairperson shall reconsider his or her recommendation and shall inform the candidate and dean of his or her final decision and the rationale for it.~~

~~16-17. 1617.~~ If the candidate does not agree with the review committee, ~~he or she~~they may provide the dean with a written response and may also request a hearing with the dean. Prior to forwarding any recommendation and rationale or materials to the Provost, the dean shall report ~~his or her~~their decision and statement of rationale to the candidate and the candidate's chairperson/head.

~~17-18. 1718.~~ Prior to the time the dean forwards the nomination to the Provost, the faculty member may withdraw from further consideration. Such withdrawal shall be in writing to the dean.

~~18-19. 1819.~~ Each nomination shall be forwarded to the Provost in writing by December 10 and shall be accompanied by the candidate's file of supporting material, recommendations of the candidate's chairperson/head, the candidate's ~~unit committee~~Unit Personnel Committee or group, the tenured faculty of the unit, the college or school review committee, and the dean. The dean's recommendation shall also be accompanied by a written statement of ~~his or her~~their rationale for the recommendation.

~~19-20. 1920.~~ The Provost shall evaluate the submitted materials and shall communicate ~~his/her~~their recommendations in writing by January 28 to the candidate, to the Chancellor, to the candidate's dean and to the candidate's chairperson/head. Concurrent with each positive recommendation, the Provost shall also forward the candidate's file of supporting material, recommendations of ~~the candidate's chairperson/head~~, the candidate's ~~unit committee~~Unit Personnel Committee or group, the tenured faculty of the unit, ~~the candidate's chair/head~~, the college or school review committee, and the dean (including a copy of the dean's written statement of rationale concerning the recommendation) to the Chancellor. If the

Provost makes a negative recommendation, ~~he or she~~they shall provide the candidate with notice of the negative recommendation by January 28 accompanied by a written statement of the rationale for such recommendation.

~~21.2021.~~ Upon being notified of a negative recommendation by the Provost, the candidate may request a review by the Faculty Senate Committee on Appointment, Promotion and Tenure (hereinafter referred to as the Tenure Committee). The request shall be in writing and submitted to the Provost by February 14. If the candidate requests review by the Tenure Committee, the Provost shall submit to the committee all recommendations and materials used at every stage of the matter. The complete file of materials shall be submitted to the chairperson of the Tenure Committee by February 16. The Tenure Committee will have access to the files of all candidates for the current year within the candidate's college. The candidate should include documentation in the appeal file of any deviation from the procedures of this section that is considered by the candidate to have damaged his/hertheir application. The Tenure Committee shall provide the Chancellor with a written statement of its recommendation and the rationale therefor, and shall also provide copies of the statement of recommendation and rationale to the candidate and to the Provost and the candidate's dean and chairperson/head by March 5.

~~20.22.~~ ~~212.~~ The final recommendations of the Chancellor shall be communicated in writing to the Provost and to the candidate, the chairperson of the Tenure Committee, the candidate's dean, and the candidate's Unit chairperson/head. In addition, the final recommendations for all candidates shall be communicated in writing to the chair of the Tenure Committee. If the final recommendation of the Chancellor is negative (contrary to a positive recommendation by the Tenure Committee), the Chancellor shall provide the candidate and the Chair of the Tenure committee with a written statement of the rationale for such recommendation.

~~23.2223.~~ The final recommendations of the Chancellor and of the Tenure Committee shall be made to the President and the Board of Trustees in time for the Board's consideration of the promotion for the next academic year. If the candidate receives a negative recommendation from the Chancellor, the candidate shall have five (5) business days to furnish a concise statement responding to the Chancellor's recommendation, which the Chancellor will forward to

the President for consideration, with copies to the Provost, Tenure Committee, and Dean.

~~If the candidate receives a negative recommendation, the candidate may request a review by the President.~~

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IV. Tenure

The faculty and chairperson of each unit shall adopt criteria and procedures for the granting of tenure. These criteria and procedures must be approved by the dean, the Provost, the Chancellor and the President. The criteria and procedures adopted by the faculty and chairperson/head shall be consistent with Board policies and the following criteria and procedures.

A. Criteria for Awarding Tenure

~~The University seeks to develop and sustain nationally and internationally prominent programs in teaching and research. A faculty dedicated to high standards is essential to this effort. The University's standards for tenure reflect these high expectations.~~

~~Ordinarily, attainment of tenure requires outstanding performance in research a~~

~~and teaching or professional performance in the case of faculty with non-~~

~~teaching titles; merely good or satisfactory performance is not considered~~

~~sufficient for a favorable tenure decision. Attainment of tenure requires a high~~

~~standard of performance in both research and teaching, and acceptable~~

~~performance in service, as well as a clear indication that such a~~

~~performance~~

~~level will be maintained over a career as a faculty member at the~~

~~University.~~

~~Otherwise, aAlthough the emphasis on accomplishment and potential~~

~~contribution may differ, the criteria for the granting of tenure include the~~

~~criteria for promotion contained in Section II.A of this document.~~

B. Procedures for Awarding Tenure

The procedures for the granting of tenure are the same as the procedures for promotion contained in Section III.B of this document provided that the final recommendation of the Chancellor and the Tenure Committee shall be made solely to the President.

C. Procedures for Suspending Probationary Period

Suspension Procedures

The probationary period may not extend beyond seven years, except as specifically provided herein, or as otherwise required by law. An initial appointment of one-half year (academic or fiscal) or less will not be included in the probationary period. If more than one-half of any year is spent in approved leave of absence without pay status, that year shall not apply toward the probationary period.

During the first six years of the probationary period, a tenure-track faculty member may request, for reasons set forth below, that the probationary period be suspended by one (1) year. The reasons for such a request will generally be the same as required under the Family and Medical Leave Act (FMLA), as amended, and are as follows: (a) the birth of a child to the faculty member or spouse and the child's care during the first year; (b) the adoption of a child by the faculty member or placement in the faculty member's home of a foster child within the first year of placement; (c) the care of the faculty member's spouse, child, or parent with a serious health condition; (d) the serious health condition of the faculty member that makes the faculty member unable to perform the functions of their job; (e) a qualifying exigency arising from the military deployment of an employee's spouse, child, or parent to a foreign country; (f) to care for a covered service member with a serious injury or illness if the employee is the spouse, child, parent, or next of kin of the service member.

On the rare occasion that an additional one-year extension is requested, such requests will be considered on a case-by-case basis. However, the faculty member will receive any leave to which they are entitled under the FMLA.

A request to suspend the probationary period for these reasons must be made at the time of the qualifying event and shall first be directed in writing to the department chair/head for approval and must also be approved by the dean (or approved through other established administrative channels), the ~~vice chancellor for academic affairs~~Provost, the Chancellor, and the President, under such procedures as the President shall approve. These procedures may include, but shall not be limited to, the manner in which the faculty member's duties and salary, if any, are determined during such year, the information which is required to substantiate a request and the extent to which a faculty member's performance during such year may be considered in awarding tenure. A faculty member who has been notified that they will not be reappointed may not subsequently request to suspend the probationary period under this policy.

If the faculty member would prefer not to disclose the pertinent information to the cChair/Hhead, the faculty member may submit their written request and documentation directly to the Director of Human Resources. The Director will, within five (5) workingbusiness days, make a determinationan assessment of whether the request falls under FMLA guidelines and communicate this determinationassessment directly to the cChair/hHead.

The period of any suspension of a faculty member's probationary period shall be the academic year (in the case of nine-month appointees) or the fiscal year (in the case of twelve-month appointees).

All requests for suspension of the probationary period shall (1) specify which of the six grounds for a suspension under Board Policy 405.1 is relevant to this request, (2) explain the circumstances, and (3) supply such medical or other documentation as might reasonably be required. To the extent necessary to properly evaluate the request, the chair/head may ask the faculty member for clarification or supplemental documentation. As quickly as possible after the request is presented, the chair/head and the faculty member shall discuss the request and implementation of the requisite leave period, if applicable.

The chair/head shall consider the request and submit their recommendation to the dean. The dean shall consider the request and submit their recommendation to the Provost as soon as possible but in no event later than two business weeks from the date of the faculty member's presenting their request to the chairperson/head.

The Provost shall consider the request and notify the faculty member of their recommendation as soon as possible but in no event later than two business weeks from the date of their receipt of the request. If the recommendation is to be negative, the faculty member may appeal to the Tenure, Appointment, and Promotion Committee. The recommendation of the Provost and the Tenure, Appointment, and Promotion Committee shall be submitted by the Provost to the Chancellor within one business week of the receipt of the recommendation of the Tenure, Appointment, and Promotion Committee.

The Chancellor shall consider the request and submit their recommendation to the President as soon as possible but in no event later than two business weeks from the date of their receipt of the request.

As each administrator makes their recommendation, they shall notify the faculty member of the recommendation.

In connection with any faculty member whose probationary period has been suspended, each person involved in making a recommendation or decision regarding promotion or tenure of the faculty member shall use their discretion

as to whether to consider the faculty member's performance during the year of suspension and, if so, how much weight to give to such performance. If there is an approved tenure extension which is granted prior to the 3rd year review, the 3rd year review is also delayed by one year. If the extension is after the 3rd year review, only the tenure and promotion decision is delayed.

No person involved in the promotion and tenure process shall consider the fact of a faculty member's having sought or obtained a suspension of the probationary period under this policy in decisions concerning promotion or tenure of the faculty member.

If the tenure clock suspension request is granted, an appropriate indication shall be placed in the applicant's promotion file. All documentation regarding the rationale for the request shall be kept confidential and maintained in a file separate from the faculty member's official institutional personnel file. This confidential file may be accessed by and a copy must be released to the applicant upon request.

~~Upon~~As part of the approval of a request to suspend the probationary period, the faculty member will enter into a formal written agreement which sets out be notified of (and acknowledge) the specific period of service which will not be counted towards tenure and which establishes of the adjusted timing -the year of the faculty member's probationary period (including the mandatory tenure review). Any extension of the probationary period is subject to all other applicable policies. The term appointment will be automatically extended by the approved period in order for the faculty member to have equivalent time to build a case toward tenure and to be evaluated.

Any faculty member whose request is not approved does not receive a favorable recommendation by the chancellor may submit within ten working business days additional reasons or information to support a request for reconsideration by the chancellor. After considering such material, the chancellor shall promptly make a final recommendation to the president.

~~During the year in which any faculty member's probationary period is suspended, the faculty member must have (1) a leave of absence without pay for at least four months or (2) a catastrophic leave of absence of at least four months or (3) at least a four-month period consisting entirely of sick leave, a catastrophic leave, and/or leave of absence without pay or (4) a part-time appointment for at least a four-month period which is no more than a 75 percent appointment and also provides for a salary of no more than 75 percent of the faculty member's salary under his or her last full-time appointment. Alternatively, a faculty member with extenuating circumstances not covered by the above may ask for a suspension of the probationary period. Such extenuating~~

~~circumstances might include a situation where a faculty member is technically fulfilling his or her responsibilities but is unduly distracted by virtue of one of the four grounds outlined in Board Policy 405.1. A faculty member desiring a suspension of the probationary period must present a written request to the chairperson (as that term is used in Board Policy 405.1) of his or her academic unit before the requisite leave period begins. In the event a faculty member is unable to present a written request to the chairperson prior to paid or unpaid leave of absence because of a mental or physical incapacity, the request shall be submitted as soon as practicable considering the extent and nature of the faculty member's incapacity. An individual requesting a second (or more) suspension of tenure during a probationary period should be making adequate progress toward tenure at the time of the request. This must be addressed in department head and dean recommendations and be reflected in annual reviews.~~

~~Such request shall (1) specify which of the four grounds for a suspension under Board Policy 405.1 is relevant to this request, (2) explain the circumstances, and (3) supply such medical or other documentation as might reasonably be required. As quickly as possible after the request is presented, the chairperson/head and the faculty member shall discuss the request and implementation of the requisite leave period, if applicable.~~

~~The chairperson/head shall consider the request and submit his or her recommendation to the dean. The dean shall consider the request and submit his or her recommendation to the Provost as soon as possible but in no event later than two weeks from the date of the faculty member's presenting his or her request to the chairperson/head.~~

~~The Provost shall consider the request and notify the faculty member of his or her recommendation as soon as possible but in no event later than two weeks from the date of his or her receipt of the request. If the recommendation is to be negative, the faculty member may appeal to the Tenure, Appointment, and Promotion Committee. The recommendation of the Provost and the Tenure, Appointment, and Promotion Committee shall be submitted by the Provost within one week of the receipt of the recommendation of the Tenure, Appointment, and Promotion Committee.~~

~~The chancellor shall consider the request and submit his or her recommendation to the president as soon as possible but in no event later than two weeks from the date of his or her receipt of the request.~~

~~As each administrator makes his or her recommendation, he or she shall notify the faculty member of the recommendation.~~

~~In connection with any faculty member whose probationary period has been suspended, each person involved in making a recommendation or decision regarding promotion or tenure of the faculty member shall use his or her discretion as to whether to consider the faculty member's performance during~~

~~the year of suspension and, if so, how much weight to give to such performance. If there is an approved tenure extension which is granted prior to the 3rd year review, the 3rd year review is also delayed by one year. If the extension is after the 3rd year review, only the tenure and promotion decision is delayed.~~

~~No person involved in the promotion and tenure process shall consider a faculty member's having sought or obtained a suspension of the probationary period under this policy in decisions concerning promotion or tenure of the faculty member.~~

~~If the request is granted, an appropriate indication shall be placed in the applicant's promotion file. All documentation regarding the rationale for the request shall be kept confidential and maintained in a file separate from the faculty member's official institutional personnel file. This confidential file may be accessed by and must be released to the applicant upon request. Any faculty member whose request is not approved by the chancellor may submit within ten working days additional reasons or information to support a request for reconsideration by the chancellor.~~

D. Mandatory Sixth Year Review - Terminal Appointment

An individual in a tenure-track position who was not awarded tenure within any of the first six academic year or fiscal year appointments must be evaluated [for tenure](#) as set forth in Section IV.A.6 of Board Policy 405.1 during the sixth appointment. If ~~he or she~~they are is not approved for tenure, the seventh appointment shall be a terminal appointment and the individual may not be reconsidered for tenure during the seventh appointment. Additionally, no individual shall be considered for tenure and/or promotion during a terminal appointment.

V. Dismissal of Tenure-Track and Tenured Faculty————

This section applies to all tenure-track or tenured faculty members and is intended to implement Board of Trustees Policy 405.1.IV.C. Dismissal of nontenure-track faculty and other personnel is addressed in Board of Trustees Policy 405.4.

A. Preliminary Proceedings

1. Except in circumstances where there are personal safety concerns and consistent with applicable law, when a chair/head or dean has reason to consider a decision to dismiss a tenured or tenure-track faculty member prior to the expiration of an appointment, the chair/head or dean shall first discuss the matter with the faculty member privately. After the discussion, if the decision of the chair/head or dean is to recommend dismissal, they shall prepare a statement of the grounds constituting the cause for

dismissal and forward it through the Provost to the Chancellor, with a copy to the faculty member. If there are personal safety concerns, the private meeting can be bypassed and the chair/head or dean can proceed with providing the statement of grounds for dismissal through the Provost to the Chancellor, with a copy to the faculty member. If the Chancellor, after considering the recommendation of the chair/head or dean, decides that a proceeding should be undertaken, action shall be commenced according to the procedures which follow.

2. If requested by either party, or if directed by the Chancellor, prior to further steps in the process, the parties shall engage in informal discussions to determine whether an acceptable resolution of the matter is possible. Such discussions may include assistance of one or more faculty selected for this purpose.

B. Hearing Procedures

1. The formal proceedings shall be initiated by a communication addressed to the individual by the Chancellor ~~of the campus~~ informing ~~them~~the faculty member of the dismissal and the grounds for it, and that, if they so request, a hearing to recommend whether their employment by the University shall be terminated on the grounds stated, will be conducted at a specified time and place by the University Committee on Appointment, Promotion and Tenure. Sufficient time shall be allowed to permit the individual to prepare a defense. The individual shall be informed in detail, or by reference to published regulations, of the procedural rights to which they are entitled, including the right to advice of counsel.
2. The individual shall indicate whether they desire a hearing. If the individual desires a hearing, they shall, within 14 days of the mailing of the Chancellor's letter, file with the Chancellor an answer to the statement of grounds for the proposed dismissal.
3. If the individual does not request a hearing, no further action shall be taken by the Tenure Committee, and the termination shall proceed. Further, at the request of the individual the proceedings provided for herein may be terminated at any time after the request for a hearing on written notice to the Chancellor of the employee's acquiescence in the dismissal. Similarly, the administration may drop dismissal proceedings at any stage.

C. Suspension Pending Dismissal Proceedings

Suspension of the individual from normal duties or reassignment to other duties during the proceedings will occur only if circumstances exist which threaten harm

or substantial disruption to the individual, to others, or to the University. Such determination shall be made by the Chancellor, in consultation with the President. Such suspension shall be with pay. This provision does not preclude disciplinary suspension without pay.

D. Hearing Committee

The University Tenure Committee on Appointment, Promotion and Tenure shall serve as the hearing committee for dismissal cases. If a member of the University Tenure Committee on Appointment, Promotion and Tenure is from the same department as the faculty member requesting the hearing, that member shall not serve on the hearing committee for that case. Upon receipt from the Chancellor of a copy of the statement of grounds for dismissal, accompanied by the individual's answer thereto, the chair of the hearing committee shall conduct hearings and recommend a course of action as provided in Section V.5.

E. Committee Proceedings

1. The committee shall proceed by considering, before the time of the hearing, the statement of grounds for dismissal already formulated and the individual's written response.
2. In addition to the members of the committee and its representative, only the person requesting the hearing and their representative, the Chancellor or their designee, and a representative, and witnesses called by the committee are permitted to attend the hearing.
3. Charges contained in the initially formulated statement of grounds for dismissal may be supplemented at the hearing by evidence of new events occurring after the initial communication to the individual which constitute new or additional cause for dismissal. If such supplementary grounds are adduced, the committee shall provide the individual with sufficient time to prepare their defense.
4. The Chancellor of the campus shall have the option to attend or not to attend the hearing, and they may select a designee to assist in developing and presenting the case. The Chancellor or designee may be assisted by the representative in developing and presenting the case and in other matters related to the hearing.
5. The committee shall determine the order of proof and shall supervise the questioning of witnesses. The committee may decline to accept unnecessarily duplicative material or unduly lengthy or repetitive testimony.

6. The individual shall have the aid of the committee when needed in securing the attendance of witnesses. The individual or their representative and the Chancellor (or designee) or their representative shall have the right within reasonable limits to question all witnesses who testify orally.
7. The committee will use its best efforts to provide an opportunity for those involved to confront all witnesses, but where this cannot be achieved despite the efforts of the hearing committee, the identity of such non-appearing witnesses, and any written evidence they may have furnished, shall be disclosed to all interested parties during the hearing.
8. Subject to these safeguards, written statements may, when necessary, be taken outside the hearing and reported to it. All of the evidence shall be duly recorded. These are not legal proceedings and formal rules of court procedure or evidence do not apply, but the committee shall exercise reasonable efforts to protect the rights of the parties in the receipt of evidence. For purposes of illustration, the proceedings shall be recorded digitally rather than via court reporter, and witnesses will not be sworn or subpoenaed. The ultimate objective of the hearing is consideration of the matter in a fair and efficient manner.

F. Consideration by Hearing Committee

The committee shall formulate its recommendation in private, on the basis of the hearing. Before doing so, it shall give opportunity to the individual and the Chancellor or their designated representative to make oral statements before it. If written arguments are desired, the committee may request them. The committee shall make its recommendation promptly, including explicit findings with respect to each of the grounds for removal presented.

The Chancellor and the individual shall be notified of the recommendation in writing and a copy of the record of the hearing shall be available to both parties. A copy of the record of the hearing and the recommendations of the hearing committee shall be furnished to the President of the University for their decision. The decision of the President shall be transmitted to the Chancellor and to the individual involved.

G. Consideration by Board of Trustees

If the decision of the President is appealed to the Board of Trustees, or if the Board of Trustees chooses to review the case, the President shall transmit to the Board of Trustees the full report of the hearing committee, stating its recommendation and their own decision. The review shall be based on the record of the previous hearing, accompanied by opportunity for argument, oral or

written or both, by the principals at the hearing or by their representatives. The decision of the Board of Trustees on review shall be final. It shall be communicated to the President and through him or her to the person involved.

If the decision of the Board is that the faculty member is to be terminated, and the termination is based on unsatisfactory performance, the termination becomes effective at the conclusion of the twelve-month period from the date of the initial notice of termination. If that period has elapsed, or if the termination is based on other grounds of cause, the termination becomes effectively immediately following the Board's decision.

~~The subcommittee of faculty members specified in Section IV.C.1 of the Board of Trustees policy on Appointments, Promotion, Tenure, Non-Reappointment, and Dismissal of Faculty (Board Policy 405.1) shall consist of three members of the Faculty Tenure Committee appointed by the committee chairperson as the need arises. The members of the subcommittee shall be faculty members of units not involved in the dismissal. In addition to the provisions set forth in Section IV.C.1. of Board Policy 405.1, the chief executive officer of the campus may recommend that formal proceedings be undertaken regardless of the recommendation of the subcommittee. No employee involved in a dismissal hearing, serving on a dismissal hearing committee, or appearing as a witness in any hearing proceeding shall be discriminated against or suffer any employment disadvantage by reason of participating in such proceeding.~~

~~The members of the Faculty Tenure Committee shall serve as the panel of faculty specified in Section IV.C.4 of the Board of Trustees policy on Appointments, Promotion, Tenure, Non-Reappointment, and Dismissal of Faculty (Board Policy 405.1), provided, however, that no faculty member in the unit involved in the dismissal shall serve on the panel for that matter. The chair of the Faculty Senate Committee on Appointment, Promotion, and Tenure shall be chair of hearing committee in IV.C.4 unless the chair is a member of the unit involved in the dismissal, in which case, the vice chair of the Faculty Senate Committee on Appointment, Promotion and Tenure shall be the chair of the Hearing Committee. If both the chair and vice chair of the Faculty Senate Committee on Appointment, Promotion and Tenure are in the unit involved in the dismissal, then the Committee shall elect a chair who is not a faculty member in the unit involved in the dismissal by majority vote.~~

~~In addition to the procedures set forth in Section IV.C.4. of Board Policy 405.1, the chairperson (or his or her designee) of the Hearing Committee shall determine procedures to extent they are not set forth in applicable policies and shall chair the hearing. The chair may require the University and the individual to exchange a list of witnesses, documents and other evidence which they intend to present to the Committee and to furnish the chair a copy of such witness lists, documents and evidence in advance of the scheduled hearing. Such evidence shall not be considered by the Committee until the hearing proceedings have begun although the~~

~~chairperson shall have the discretion to furnish copies of such evidence to the Committee for its review in advance of the hearing in order to expedite the proceedings. The chair may request that the Committee be advised by legal counsel as to procedural matters and in the event the Office of the General Counsel determines that it may not provide such representation it will request that an attorney from the Office of the Arkansas Attorney General be assigned to advise the Committee. The chair shall determine the order of proof, shall supervise the questioning of witnesses, and shall rule upon all objections (after opportunity for response from both sides) prior to and during the hearing. Committee members shall be allowed to question witnesses during the hearing under procedures established by the chair. The chair shall conduct the Committee during its private deliberations and shall not have a vote except to break a tie. The chair shall assure that before making its recommendation, the Committee shall give opportunity to the individual and the chief executive officer of the campus or his or her designated representative to make oral statements before it.~~

~~In addition to the procedures set forth in Section IV.C.6. of Board Policy 405.1, the chair of the Hearing Committee shall be available to discuss the hearing with the President if requested. The decision of the President shall be transmitted to the chief executive officer of the campus, to the individual involved and to the Hearing Committee. Likewise if decision of the President is appealed to the Board of Trustees, the decision of the Board of Trustees shall be communicated to the Hearing Committee.~~