

UAM FACULTY HANDBOOK

Introduction

This Faculty Handbook for the University of Arkansas at Monticello has been designed to provide a brief review of important policies and procedures of interest to faculty and administrators. Separate handbooks for staff and students provide information of interest to those members of the University community.

Much of the material in this Handbook is in summary form. The Handbook, therefore, is not the complete and exact text of all University or State rules, regulations, and policies. Appropriate administrative offices will provide employees with further information about matters mentioned in the Handbook should they be needed. The University of Arkansas reserves the right to revise, modify, or repeal any of its policies or procedures through future actions.

This revision (August 4, 2022) of the Faculty Handbook that was originally published in 1995 supersedes all previous revisions. Faculty and administrators are encouraged to review the document often, as revisions will be made as needed.

Last revision date: August 4, 2022

The following policies and procedures may be found at [Operating Procedures \(uamont.edu\)](https://uamont.edu):
UAM Operating Procedures
UA System Board of Trustees Policies
UA Systemwide Policies and Procedures

Table of Contents

Introduction	1
UAM Vision	10
UAM Mission	10
Core Values.....	10
Institutional Learning Outcomes.....	10
UAM CAMPUS HISTORY	11
2021 VISION—BREAKING BOUNDARIES: CREATING ACCESS, SUCCESS, and GROWTH in ARKANSAS and BEYOND.....	13
CHAPTER ONE -- GOVERNANCE	19
I. GOVERNANCE OF THE UNIVERSITY OF ARKANSAS SYSTEM (Board Policy 100.4)	19
A. Chapter I: Description of University Components.....	19
B. Chapter III: Administration	19
5. Campus Governance	19
II. GOVERNANCE OF THE UNIVERSITY OF ARKANSAS AT MONTICELLO	21
A. UAM Administration.....	21
B. Administrative Committees	22
C. The Constitution and Bylaws of UAM	24
CHAPTER TWO – U of A POLICIES GOVERNING FACULTY SERVICE (Board Policy 405.1) APPOINTMENTS, PROMOTION, TENURE, NON-REAPPOINTMENT, AND DISMISSAL OF FACULTY ¹	27
I. Definition of Terms	27
II. Appointments.....	29
A. Faculty	29
B. Administrative Appointments.....	30
III. Promotion	30
IV. Tenure, Non-reappointment, and Dismissal	31
A. Tenure.....	31
B. Non-Reappointment.....	34
C. Dismissal	35

- V. Annual Review37
 - A. Tenured and Tenure-Track Faculty38
 - B. Non-Tenure-Track Faculty39
- Post-Tenure Review.....40
- CHAPTER THREE - APPOINTMENT, REAPPOINTMENT, PROMOTION, TENURE, & DISMISSAL GUIDELINES41
 - I. FACULTY RANKS.....41
 - II. APPOINTMENT AND REAPPOINTMENT.....41
 - III. PROMOTION.....41
 - A. Criteria41
 - B. Procedures.....44
 - IV. TENURE45
 - A. Criteria45
 - B. Procedures.....45
 - V. CONSIDERATION OF ACADEMIC UNIT HEADS45
 - VI. DISMISSAL46
- CHAPTER FOUR - MISCELLANEOUS POLICIES GOVERNING FACULTY SERVICE47
 - I. APPOINTMENT PERIODS47
 - II. TERMINATION OF EMPLOYMENT (BOARD POLICY 405.4)47
 - III. STANDARD WORKLOAD49
 - IV. SUMMER TEACHING POLICY (UAM Operating Procedure 440.3).....50
 - Faculty Compensation.....50
 - Workload Spreadsheet51
 - I. EXTRA COMPENSATION AND OVERLOAD (UAM Operating Procedure 410.5)51
 - II. OUTSIDE EMPLOYMENT OF FACULTY AND NON-CLASSIFIED STAFF MEMBERS FOR COMPENSATION (BOARD POLICY 450.1).....51
 - VII. ANNUAL FACULTY EVALUATION51
 - VIII. ACADEMIC EMPLOYEE GRIEVANCE PROCEDURE52
 - A. Definitions52

B.	Application	52
C.	Procedure	52
D.	Grievance Steps.....	52
IX.	GARNISHMENT AND SALARY LIENS (UA Systemwide Policy and Procedures 440.9)	53
X.	ANNUAL LEAVE FOR ACADEMIC AND OTHER NON-CLASSIFIED EMPLOYEES (Board Policy 420.1).....	53
A.	Annual (Vacation) Leave.....	53
B.	Holidays (UA Systemwide Policies and Procedures 435.1)	55
C.	Off-Campus Duty Assignment (UA Systemwide Policies and Procedures 435.4)	55
D.	Leave of Absence Without Pay (Board Policy 420.6).....	55
E.	Sick Leave (Board Policy 420.3)	56
F.	Family and Medical Leave (UA Systemwide Policies and Procedures 425.1)	57
G.	Catastrophic Leave (Acts 91 and 169 of 1991)	57
H.	Absence from Work	61
I.	Attendance at Professional Meetings	62
J.	Military Leave (Board Policy 420.4)	62
K.	Court and Jury Leave (Board Policy 420.5)	63
L.	Annual Leave for Graduate Study (Board Policy 420.1).....	63
M.	Children’s Education Activity Leave (Act 1028 of 2007) (Board Policy 420.7).....	64
XI.	FRINGE BENEFITS.....	64
XII.	POLICY ON PATENTS AND INVENTIONS	64
XIII.	POLITICAL ACTIVITY (BOARD POLICY 465.1)	65
XIV.	RELATIONS WITH LEGISLATORS AND MEMBERS OF CONGRESS.....	66
XV.	NEPOTISM (Board Policy 410.1).....	66
XVI.	RETIREMENT AGE (Board Policy 425.6)	66
XVII.	EMERITUS STATUS (Board Policy 475.1)	66
A.	Eligibility for Emeritus Status	66
B.	Procedures for Awarding Emeritus Status	67
C.	Privileges of Emeritus Status	67

D.	Responsibility of Recipients of Emeritus Status	67
XVIII.	PROMOTION / TENURE CREDIT FOR ADVANCED DEGREE.....	67
	CHAPTER FIVE - UNIVERSITY POLICIES REGARDING FACULTY RIGHTS AND PRIVILEGES.....	69
I.	REGULATIONS IN BUSINESS AFFAIRS	69
A.	Purchases:	69
B.	Sale of University Property:.....	69
C.	Sale of Books:	69
D.	Deadlines for Textbook and Course Material Adoption (Act 175):.....	69
E.	Travel Regulations:	69
F.	Use of University Vehicles:	69
G.	Use of Private Cars:.....	69
H.	Communications:	69
I.	Keys:	69
J.	Visitors:	69
II.	USE OF UNIVERSITY'S NAME	70
III.	RESIDENCE STATUS OF FACULTY AND STAFF (UA Systemwide Policies and Procedures 245.3).....	70
IV.	EMPLOYEE MOVING EXPENSES (UAM Operating Procedure 404.5).....	70
V.	ON-THE-JOB INJURY	71
VI.	DISTURBANCES AND DEMONSTRATIONS	71
VII.	DEVELOPMENT AND FUND-RAISINGACTIVITIES	71
VIII.	ENROLLMENT IN UNIVERSITYCOURSES.....	71
IX.	ON-CAMPUS PARKING	71
X.	USE OF UNIVERSITY FACILITIES (Board Policy 705.1, UA Systemwide Policies and Procedures 715.1, UAM Operating Procedure 710.1).....	72
A.	Recreation Facilities	72
B.	Reserving Facilities	72
C.	Library Use.....	72
D.	Graphic Design and Copy Center	73

XI.	OTHER UNIVERSITY SERVICES.....	73
A.	Computer Services.....	73
B.	Credit Union.....	73
C.	Cafeteria Meal Ticket at Reduced Price.....	73
D.	Campus Mail.....	73
E.	Faculty and Staff with Disabilities:.....	73
CHAPTER SIX - FACULTY RESPONSIBILITIES		75
I.	FACULTY CLASS ATTENDANCE	75
II.	FACULTY GRADING STANDARDS, EXAMINATIONS, GRADE REPORTS & ATTENDANCE REPORT POLICIES	75
III.	MID-TERM GRADE POLICY	75
IV.	ATTENDANCE POLICY	76
V.	FINAL EXAMINATIONS SCHEDULE	76
VI.	POLICY ON CHANGING GRADES	76
VII.	STUDENT APPEAL OF GRADE	76
VIII.	STUDENT RECORDS.....	77
IX.	CLASSROOM BEHAVIOR/DISRUPTION POLICY	77
X.	FACULTY ATTENDANCE AT COMMENCEMENT.....	78
XI.	FACULTY OFFICE HOURS.....	78
XII.	COURSE SYLLABUS REQUIREMENTS	79
XIII.	ACADEMIC ADVISING.....	79
XIV.	ADVISOR TO STUDENT ORGANIZATIONS.....	79
XV.	OTHER DUTIES.....	79
XVI.	SERVICES FOR STUDENTS WITH DISABILITIES.....	80
XVII.	STUDENT RECORDS AND THEIR DISCLOSURE	80
XVIII.	STUDENT ABSENCES DUE TO PARTICIPATION IN UNIVERSITY SPONSORED EVENTS.....	80
XIX.	POLICY FOR RESEARCH USING HUMAN SUBJECTS	80
XX.	ANIMAL CARE AND USE POLICY	81
CHAPTER SEVEN - COMPLIANCE WITH LOCAL, STATE AND FEDERAL REGULATIONS		85

I.	FEDERAL LAWS AND REGULATIONS CONCERNING NON- DISCRIMINATION	85
A.	Applicable Statutes	85
B.	Statement of Policy.....	85
C.	Complaint Procedures.....	85
II.	TITLE IX POLICY FOR COMPLAINTS OF SEXUAL ASSAULT AND OTHER FORMS OF SEXUAL HARASSMENT (UAM Operating Procedure 275.1)	86
IV.	CONSENSUAL RELATIONSHIPS (UAM Operating Procedure 460.1).....	103
V.	STUDENT COMPLAINT/GRIEVANCE PROCEDURE FOR NON-ACADEMIC MATTERS (UAM Operating Procedure 525.1) 103	
VI.	DRUG FREE SCHOOLS AND COMMUNITIES ACT.....	105
A.	University Policy and Sanctions.....	105
B.	Statement of Local, State and Federal Law Applicability.....	105
C.	Alcohol and Illicit Drug Health Risks	105
D.	Counseling and Treatment Services.....	106
VII.	DRUG-FREE WORKPLACE	106
VIII.	CLERY ACT DISCLOSURE	106
APPENDIX A -	The University of Arkansas at Monticello Constitution	107
	The UAM Constitution	107
ARTICLE I	SCOPE AND PURPOSE	107
ARTICLE II	THE ASSEMBLY	107
ARTICLE III	MEMBERSHIP.....	107
ARTICLE IV	OFFICERS.....	108
ARTICLE V	MEETINGS	108
ARTICLE VI	AMENDMENTS	109
	THE BYLAWS OF THE CONSTITUTION OF THE UAM ASSEMBLY	110
ARTICLE I	MEMBERSHIP	110
ARTICLE II	OFFICERS.....	110
ARTICLE III	COMMITTEES.....	111
	COMMITTEE ON COMMITTEES	111

ACADEMIC APPEALS COMMITTEES	113
ATHLETIC COMMITTEE	113
CURRICULUM AND STANDARDS COMMITTEE	113
TECHNICAL PROGRAMS' CURRICULUM AND STANDARDS COMMITTEE	113
FACULTY COMMITTEE ON DISMISSALS.....	114
FACULTY EQUITY AND GRIEVANCE COMMITTEES	114
FACULTY RESEARCH COMMITTEE.....	114
LIBRARY COMMITTEE	114
STUDENT AFFAIRS COMMITTEES	115
TEACHER EDUCATION COMMITTEE	115
ARTICLE IV COUNCILS.....	115
Section 1. THE UAM FACULTY COUNCIL.....	115
Section 2. UAM GRADUATE FACULTY AND THE UAM GRADUATE COUNCIL	116
ARTICLE V SYSTEM COMMITTEES	116
ARTICLE VI AMENDMENTS TO THESE BYLAWS.....	116
ARTICLE VII UAM PUBLICATIONS.....	117
APPENDIX B- Promotion and Tenure Portfolio Guidelines.....	118
PROMOTION AND TENURE SCHEDULE.....	119
PROMOTION AND/OR TENURE COVER SHEET/CHECKLIST	120
FORMAT TO BE USED IN PREPARING CURRICULUM VITA.....	121
APPENDIX C – Annual Evaluation Procedures and Forms	122
ANNUAL EVALUATION TIMETABLES BY FACULTY CATEGORY	123
ANNUAL EVALUATION COURSE OF ACTION	124
ANNUAL FACULTY EVALUATION PROCEDURES.....	125
Introduction.....	125
Teaching.....	125
Service.....	125
Professional Growth (Scholarship) and Development (Renewal).....	125

The Evaluations.....125

APPENDIX D – Hornaday Outstanding Faculty Award133

APPENDIX E – Universitywide Administrative Policies and Board Policies136

OUTSIDE EMPLOYMENT OF FACULTY AND NON-CLASSIFIED STAFF MEMBERS FOR COMPENSATION; CONCURRENT EMPLOYMENT (Board Policy 450.1)137

VOLUNTARY EARLY RETIREMENT AGREEMENT146

EARLY RETIREMENT WORKSHEET148

STATEMENT OF ASSURANCE149

VOLUNTARY EARLY RETIREMENT PROGRAM.....150

WAIVER OF 45 DAY CONSIDERATION150

EXTRA COMPENSATION FOR FACULTY, NON-CLASSIFIED OR CLASSIFIED, EXEMPT EMPLOYEES (UA Systemwide Policies and Procedures (UASP) 440.2)151

COMPENSATION FOR TEACHING ONLINE CLASSES (UAM Operating Procedure 440.2).....153

GARNISHMENT AND SALARY LIENS (UA Systemwide Policies and Procedures 440.9).....154

STUDENT EDUCATION RECORD AND THE FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA) (UA Systemwide Policies and Procedures (UASP) 515.1).....155

RESTRICTING/RELEASING STUDENT EDUCATION RECORDS (UAM Operating Procedure 545.1).....165

FRAUD (UA Board Policy 350.1).....168

INDEX.....172

UAM Vision

The University of Arkansas at Monticello will be recognized as a model, open access regional institution with retention and graduation rates that meet or exceed its peer institutions.

Through these efforts, UAM will develop key relationships and partnerships that contribute to the economic and quality of life indicators in the community, region, state, and beyond.

UAM Mission

The University of Arkansas at Monticello is a society of learners committed to individual achievement by:

- Fostering a quality, comprehensive, and seamless education for diverse learners to succeed in a global environment;
- Serving the communities of Arkansas and beyond to improve the quality of life as well as generate, enrich, and sustain economic development;
- Promoting innovative leadership, scholarship, and research which will provide for entrepreneurial endeavors and service learning opportunities;
- Creating a synergistic culture of safety, collegiality, and productivity which engages a diverse community of learners.

Core Values

- *Ethic of Care*: We care for those in our UAM community from a holistic perspective by supporting them in times of need and engaging them in ways that inspire and mentor.
- *Professionalism*: We promote personal integrity, a culture of servant leadership responsive to individuals' needs as well as responsible stewardship of resources.
- *Collaboration*: We foster a collegial culture that encourages open communication, cooperation, leadership, and teamwork, as well as shared responsibility.
- *Evidence-based Decision Making*: We improve practices and foster innovation through assessment, research, and evaluation for continuous improvement.
- *Diversity*: We embrace difference by cultivating inclusiveness and respect of both people and points of view and by promoting not only tolerance and acceptance, but also support and advocacy.

Institutional Learning Outcomes

- *Communication*: Students will communicate effectively in social, academic, and professional contexts using a variety of means, including written, oral, quantitative, and/or visual modes as appropriate to topic, audience, and discipline.
- *Critical Thinking*: Students will demonstrate critical thinking in evaluating all forms of persuasion and/or ideas, in formulating innovative strategies, and in solving problems.
- *Global Learning*: Students will demonstrate sensitivity to and understanding of diversity issues pertaining to race, ethnicity, and gender and will be capable of anticipating how their actions affect campus, local, and global communities.
- *Teamwork*: Students will work collaboratively to reach a common goal and will demonstrate the characteristics of productive citizens.

UAM CAMPUS HISTORY

The University of Arkansas at Monticello was established in 1909 by an act of the General Assembly of the State of Arkansas to serve the educational needs of Southeast Arkansas. Originally called the Fourth District Agricultural School, the University opened its doors September 14, 1910. In 1925, the General Assembly authorized the school's name to be changed to Agricultural and Mechanical College of the Fourth District. It received accreditation as a junior college in 1928. In 1939, the name was changed to Arkansas Agricultural and Mechanical College and it received accreditation as a four-year institution in 1940.

Arkansas A&M became part of the University of Arkansas system July 1, 1971. The University is governed by the University of Arkansas Board of Trustees, which also oversees the operation of institutions in Batesville, DeQueen, Fayetteville, Fort Smith, Helena, Hope, Little Rock, Morrilton, and Pine Bluff.

On July 1, 2003, UAM expanded its mission to include vocational and technical education when the UAM College of Technology-Crossett and the UAM College of Technology-McGehee became part of UAM to create a comprehensive system of postsecondary education in Southeast Arkansas.

To learn more about UAM's past, download our comprehensive list of [historical milestones](#) and a history of the <http://www.uamont.edu/>.



2021 *Vision*

BREAKING BOUNDARIES:

**CREATING ACCESS,
SUCCESS, AND GROWTH
IN ARKANSAS AND BEYOND**

**2021 VISION—BREAKING BOUNDARIES: CREATING ACCESS, SUCCESS, and
GROWTH in ARKANSAS and BEYOND**

Aligning with ADHE Goals of Closing the Gap 2020 and University of Arkansas System Goals of Transformation 2025

UAM STRATEGIC PLAN Update

February 2021

1. STUDENT SUCCESS—fulfilling academic and co-curricular needs

- Develop, deliver, and maintain quality academic programs.
 - o Enhance and increase scholarly activity for undergraduate and graduate faculty/student research opportunities as well as creative endeavors.
 - o Revitalize general education curriculum.
 - o Expand academic and degree offerings (technical, associate, bachelor, graduate) to meet regional, state, and national demands.

- Encourage and support engagement in academics, student life, and athletics for well- rounded experience.
 - o Develop an emerging student leadership program under direction of Chancellor’s Office.
 - o Enhance and increase real world engagement opportunities in coordination with ACT Work Ready Community initiatives.
 - o Prepare a Student Affairs Master Plan that will create an active and vibrant student culture and include the Colleges of Technology at both Crossett and McGehee.

- Retain and recruit high achieving faculty and staff.
 - o Invest in quality technology and library resources and services.
 - o Provide opportunities for faculty and staff professional development.
 - o Invest in quality classroom and research space.
 - o Develop a model Leadership Program (using such programs as American Council on Education, ACE and/or Association of American Schools, Colleges, and Universities, AASCU) under the direction of the Chancellor’s Office to grow our own higher education leaders for successive leadership planning.
 - o Create an Institute for Teaching and Learning Effectiveness.

- Expand accessibility to academic programs.
 - o Engage in institutional partnerships, satellite programs, and alternative course delivery.
 - o Create a summer academic enrichment plan to ensure growth and sustainability.
 - o Develop a model program for college readiness.
 - o Revitalize general education.
 - o Coordinate with community leaders in southeast Arkansas to provide student internships, service learning, and multi-cultural opportunities.

	Goal	Target Date	Progress/Status	Revised Action
1.1	Develop short and long-term budgeting plans in the next year (Fall 2018) for increased funding in faculty/student research opportunities including conference presentations with implementation to begin in two years.	Fall 2019	The Office of Finance and Administration is a developing budget planning framework that includes increased funding for faculty/student research. However, we are monitoring the impact of	Continued inclusion of UAM priorities for budget development.

			Performance Funding on the state portion of the UAM budget and have not implemented this goal.	
1.2	Immediately begin development of a classroom equipment and technology rotation plan for improved technologies to support instruction and learning with implementation to begin within one year as funds are available	Fall 2018	In Fiscal Year 2018, year end funds were used to support technology needs. Concurrently, a plan is being developed by the Office of Information Technology to address this campus-wide issue.	On-going
1.3	Pilot and implement a summer college readiness program.	Summer 2019	Executive Council concluded that UAM is not ready for this initiative at this time.	Alternative opportunities to develop/implement a summer college readiness program are being evaluated.
1.4	Immediately establish a task force for a faculty proposal to explore completion of professional development in their content areas and to evaluate participation incentives within two years.	Fall 2019	The Professional Development Task Force has begun to implement opportunities in the content area units. However, there is still development to be done to refine opportunities and implement incentives. VCAA	On-going
1.5	Increase unit and university service learning opportunities by one new initiative per unit in the first year.	Fall 2018 and On-going	Discussion with key faculty have begun. However, this is an initiative that will be supported when other enrollment and completion goals are met. VCAA	On hold
1.6	Establish an Institute for Teaching and Learning.	Fall 2021	Initiative will begin being discussed in 2021. VCAA	
1.7	Implement online tutoring resources with Blackboard, and other tools which will result in 10% increase in students tutored each year.	Fall 2018 and On-going	Tutoring has been enhanced and the number of students served increased by over 300% in Fall 2018. VCSE	Continue enhancing these services and monitoring progress.
1.8	Appoint a task force within the next two years to explore study abroad partnerships and the feasibility of a Global Studies interdisciplinary major, minor, and/or emphasis area.	Fall 2019	This initiative has been put on hold at this time.	VCAA will continue to assess the timing to evaluate and implement this goal.
1.9	Administer a student survey at all three campuses to identify and determine types of desired student activities and resources needed,	Fall 2018	This project will be implemented after the VCSE completes several high priority initiatives.	On hold

	and utilize survey results to develop unit strategic plans in Student Affairs within one year.			
1.10	Evaluate tenure, promotion, and evaluation processes for faculty and revise to align with best practices.	On-going	A change in the UA System Policy addressing tenure and promotion have resulted in review of evaluation processes. Changes will be made appropriately. VCAA	On-going

2. ENROLLMENT and RETENTION GAINS

- Engage in concurrent enrollment partnerships with public schools, especially in the areas of math transition courses.
- Provide assistance and appropriate outreach initiatives with students (working adults, international, transfers, and diversity) for successful transition.
- Coordinate and promote marketing efforts that will highlight alumni, recognize outstanding faculty and staff, and spotlight student success.
- Develop systematic structures for first year and at-risk students.
- Identify and enhance pipeline for recruiting.

	Goal	Target Date	Progress/Status	Revised Action
2.1	Form a faculty/staff work team in the next year (Fall 2017) for input on a University Academic Plan to review and recommend advising structures for guided pathways, learning community opportunities, mentoring and tutoring programs, and learning/advising strategies to improve retention.	Fall 2018- 2021	Completed, and the Quality Initiative project for accreditation	N/A
2.2	Implement a 15 to Finish Campaign with clear goals and expectations in the next year (Fall 2021) and review on an annual basis.	Fall 2018- 2021	Completed. Campaign implemented. Working to define clear goals and expectations	On-going
2.3	Develop and implement within two years (Fall 2019) a model first year program with an academic and orientation component.	Fall 2019	A proposal for implementing a First Year Program will be presented to Executive Council as part of the budget process that concludes in May 2019 for the next fiscal year. Academic Affairs is offering a freshmen success courses available for all first semester freshmen students.	Completed
2.4	Develop an Enrollment Strategic Plan in the next year (Fall 2018) which will identify target audiences and outreach efforts to enhance recruiting efforts.	Fall 2018	First plan issued in 2019. VCSE	On-going
2.5	Identify a marketing agency through the RFP process and contract with the approved agency immediately to develop a comprehensive marketing	Fall 2017	This project has been completed and the next phase of the project will be implemented by the	The next phase of the marketing campaign will be developed and

	and branding approach for the campus, Colleges of Technology, units, and programs.		Marketing Director who was hired in March 2019.	implemented prior to the next fiscal year.
2.6	Update, reorganize, and review the university website to align with marketing and branding strategies and to provide user friendliness to all UAM, internal and external constituents on an annual basis.	Fall 2017-Fall 2021	Completed	Completed
2.7	Monitor and review trend data, adjust appropriate strategies, and compare UAM to benchmark institutions for undergraduate and graduate enrollment and retention on an annual basis including college ready cohort (Fall 2017-2021) in the areas of headcount, student semester credit hours, transfers, minority students, average ACT scores, and retention rates of first time freshman, sophomore to junior, and junior to senior.		This project is on the priority list of the new VC for Student Engagement.	The team who will be responsible for this project will be identified and work begun prior to Fall 2019

3. INFRASTRUCTURE REVITALIZATION and COLLABORATIONS

- Expand accessibility Improve Institutional Effectiveness and Resources through participation in a strategic budget process aligned with unit plans and goals for resource allocations.
- Conduct and prepare Economic Impact Studies to support UAM efforts and align program and partnerships accordingly.
- Prepare and update University Master Plan.
- Partner with system and state legislators to maximize funding.
- Increase external funding opportunities that will create a philanthropic culture among incoming students, graduates, and community.
 - Increased efforts to earn research and grant funds.
 - Creation of philanthropic culture among incoming students, graduates and community.
 - Collaborating with Athletics Fundraising to maximize synergies.
 - Create a Growing our Alumni Base Campaign.
 - Encourage entrepreneurial opportunities where appropriate.
 - Participation in articulation agreements to capitalize on academic and economic resources.
 - Partner with communities to address the socio economic, educational, and health and wellness (safety needs) of all citizens.

	Goal	Target Date	Progress/Status	Revised Action
3.1	Develop annual unit and assessment processes linked to UAM Strategic Plan in the first year.	Fall 2018- On-going	Academic Affairs has revised the Annual Unit Report to include metrics related to progress toward goals in the UAM Strategic Plan.	Non-academic units are continuing to develop assessment linked to the Strategic Plan. University Assessment Committee - VCAA
3.2	Review and revise the Faculty Evaluation Plan with a component for post tenure and advising to align with improving institutional effectiveness within two years.	Fall 2019	Academic Affairs is redesigning Faculty Evaluation to address the Strategic Plan as well as to improve outcomes.	On-going
3.3	Develop a formalized non-classified	Fall 2018	Non-classified staff and	Completed

	staff and senior administrator evaluation plan within the first year (Fall 2017) to be implemented in the second year.		senior administrator evaluation instrument has been developed and approved by Executive Council.	
3.4	Develop a program review process to align with impact for workforce needs, and employment and enrollment demand and trends within the next two years.	Fall 2019	The Colleges of Technology, in collaboration with the Monticello campus, address the evaluation of workforce needs, employment and enrollment. The CT at Crossett and McGehee received workforce grants from the State of Arkansas to address program needs in healthcare and transportation.	On-going
3.6	Development and implementation of a salary and benefits plan including fair and equitable merit pool that aligns with newly developed evaluation processes for faculty and non-classified staff within the next three years.	Fall 2017- Fall 2020	UAM is currently developing a review process. The first step was joining CUPA- HR so that we could design a comparative study of faculty salaries by discipline and rank. Once this is done, a non-classified staff salary evaluation will be done.	On-going
3.7	Prepare, within two years (Fall 2020), a university Master Plan to include, but is not limited to academic facilities, housing facilities, athletics facilities, College of Technology Master Plans, ADA compliance, off campus facilities/land, Technology Blueprint Plan to align with UA System, and Physical Plant Sustainability Plan.	Fall 2020	Draft completed in 2019. Chancellor	Unclear
3.8	Monitor state's Productivity Funding plan annually and set benchmarks for annual improvements in UAM performances.	On-going	A Productivity Funding Watchdog Team has been established on campus to monitor and inform the Executive Council on UAM status and strategies to employ. VCAA	On-going
3.9	Create a Growing our Alumni Base and develop collaborations with Athletics and academic units for maximum synergies for fundraising within one year with an annual review of operations.	Fall 2018- On-going	At the time this goal was set, UAM was advertising for a Vice Chancellor for Advancement and an Athletic Director . Those individuals are now in place and this discussion is taking place.	On-going
3.10	Create a prioritized deferred maintenance schedule within one year (Fall 2018) and develop a budgetary	Fall 2021	Finance	

	plan for addressing the needs over the next four years.			
3.11	Provide workshops on grant writing opportunities and processes as part of professional development on an annual basis.	On-going	This topic is on the list for the Professional Development Week but other priorities have resulted in this being delayed. VCAA	Review of professional development priorities will be done following the Professional Development Week Program in August 2021.
3.12	Review plans and conduct annual training for emergency management including pandemic plans, weather related disasters, etc.	On-going	University Police Department is working on developing this framework and implementing training.	On-going
3.13	Develop and maintain a space assignment and management plan in order to accommodate growth.	On-going	The framework for space assignment and management has been developed and implemented. At this point, the core team involved in space management (keys, technology, moving and Chancellor's Office) have developed an on-line request form that must be signed off on by every office before the space can be assigned and occupied.	Continue refining process and communicating with campus appropriately.
3.14	Reduce our student loan default rate by one percent annually.	Fall 2018	The student loan default rate has been decreasing steadily since 2012. In the last two reporting periods (2015 and 2016), the decrease in the default rate has exceeded the goal. In 2012, the default rate was 24.9; in 2015 and 2016, it was 17.8 and 14.3, respectively.	Continue monitoring and taking corrective action. VCSE

2017-21 Strategic Plan – Revised and Approved 6/29/21

CHAPTER ONE -- GOVERNANCE**I. GOVERNANCE OF THE UNIVERSITY OF ARKANSAS SYSTEM (Board Policy 100.4)****A. Chapter I: Description of University Components****1. General Provisions**

The University of Arkansas is a land-grant state university offering statewide educational opportunities ranging from certificate programs to post-doctoral study. Its principal campus units, divisions, and administrative units are:

Universities:

University of Arkansas at Fayetteville
 University of Arkansas at Little Rock
 University of Arkansas for Medical Sciences
 University of Arkansas at Monticello
 University of Arkansas at Pine Bluff
 University of Arkansas at Fort Smith
 University of Arkansas System eVersity
 University of Arkansas Grantham

Two-Year Colleges:

Phillips Community College of the University of Arkansas
 University of Arkansas Community College at Hope-Texarkana
 University of Arkansas Community College at Batesville
 Cossatot Community College of the University of Arkansas
 University of Arkansas Community College at Morrilton
 University of Arkansas Community College at Rich Mountain
 University of Arkansas Pulaski Technical College

Other Units:

Division of Agriculture
 Arkansas Archeological Survey
 Criminal Justice Institute
 Arkansas School for Mathematics, Sciences and the Arts
 University of Arkansas Clinton School of Public Service
 The Winthrop Rockefeller Institute

These educational and administrative, together with certain authorized adjuncts to each and those campuses or units later added by merger or otherwise, constitute the University of Arkansas for which the Board of Trustees is the governing board of control. These educational and administrative units are also referred to collectively as the University of Arkansas System.

B. Chapter III: Administration**5. Campus Governance****5.1 Scope and Purpose**

The constituency of each principal campus shall develop a system of government to establish policies and

procedures for campus governance. The purposes shall be to provide a system that permits a broad base for governance of that campus through appropriate participating involvement of the administration, students, faculty and staff in the determination of guidelines and policies for campus affairs and to generate and promote understanding, collaboration and a sense of community on the campus.

The responsibility and authority hereinafter described in this section shall be vested in the campus organization by the University of Arkansas Board of Trustees and shall be subject to review by the Board.

5.2 Authority and Responsibility

The campus governance organization on each campus shall, under the Board of Trustees, be the legislative body responsible for developing educational policies and programs on that campus. Among other matters, this responsibility includes such areas as:

- a. Admissions requirements
- b. Curriculum and courses
- c. Degrees and requirements for degrees
- d. Calendar and schedules
- e. Academic honors
- f. Student affairs
- g. Interpretation of its own legislation.

The campus government shall have the authority to make recommendations to the Chancellor, President, and the Board of Trustees on any matter of general faculty or campus-wide concern, including such matters as appointment, promotion, tenure, dismissal, and non-reappointment. Through the Chancellor, actions on any matter under this paragraph are reported to the President and, when requested by the campus government or considered necessary or desirable by the President, through the President to the Board of Trustees.

5.3 Organization and Operation

Each campus shall, consistent with provisions of this section, design any campus governmental structure and operate in any manner it determines consistent with the principles of sound democratic government. The following features shall be included:

- a. Members of the administration, faculty, staff, and students under the administrative jurisdiction of each of the principal campuses shall have representation in the governance of that campus.
- b. The local organization shall be predominantly faculty.
- c. Meeting notices and tentative agenda shall be publicized at least five days in advance of the meeting.
- d. Meetings shall be open to all represented persons, although floor privileges may be limited.
- e. Summaries of the meetings shall be made available to all members of the local governing body promptly after the meeting.
- f. Minutes of the meetings shall be forwarded promptly to the Chancellor and shall be deposited in the campus library.

5.4 Actions Disapproved by the Chancellor

The Chancellor of the campus may disapprove any action of the local government within two (2) weeks after receipt of same. If the Chancellor and the campus organization are unable to reconcile their differences, the local organization may, by at least three-fifths (3/5) vote of those present and voting, provided that a quorum is present, appeal these differences to the President for mediation and to the Board of Trustees. If settlement is not achieved

within 30 days, the President shall submit the issue to the Board of Trustees for resolution.

5.5 Implementation of Local Governance

The constituency of each campus shall submit a proposed plan through the Chancellor and the President to the Board of Trustees. Upon review and recommendation by the Chancellor and the President and approval by the Board of Trustees, the proposed plan shall be adopted and shall supersede all existing instruments of governance pertaining to that campus. Subsequent amendments shall follow the same procedure. Until such a plan is submitted and approved, all rights, privileges, and obligations granted to faculties and other groups by existing documents relating to campus governance shall remain in effect.

6. Universitywide Governance

No provision of these regulations shall be interpreted to prohibit establishment of a universitywide government to consider matters of universitywide impact and concern.

For the full policy details see Board Policy 100.4, June 27, 1975, revised May 26, 2022.

II. GOVERNANCE OF THE UNIVERSITY OF ARKANSAS AT MONTICELLO

A. UAM Administration

Chancellor: The Chancellor shall exercise complete executive authority subject to the policies established by the Board of Trustees and the President of the University of Arkansas System. He/she shall be the leader of and the official spokesperson for the campus; he/she shall promote the educational excellence and general development and welfare of the campus; he/she shall define the authority of committees and officers of the campus; and all projects, programs, and institutional reports to be undertaken on behalf of the campus shall be subject to his/her authorization and approval.

The Chancellor shall be responsible for enforcement of the policies, procedures, budgets, rules and regulations, and decisions of the Board of Trustees concerning the UAM campus. He/she shall make recommendations to the President with respect to the budget and the appointment of full-time academic personnel.

The Chancellor shall be the official medium of communication between the President and all deans, heads and chairs of academic units, and all other administrative officers, faculty members, students, and employees of the campus.

Areas under his/her direction and supervision include Athletics Department and University Police.

Vice Chancellor for Academic Affairs: The Vice Chancellor for Academic Affairs is the chief academic officer. He/she plans and coordinates all academic programs on the UAM campus. He/she directs and supervises the Library, the Registrar, and all academic faculty through the academic unit heads. He/she provides academic counseling to individual students and supervises academic probation, dismissal, and attendance policies.

The Vice Chancellor for Academic Affairs shall be responsible for enforcement of the policies, procedures, budgets, rules and regulations, and decisions of the Board of Trustees concerning the UAM campus. He/she is directly responsible to the Chancellor.

Vice Chancellor for Finance and Administration: The Vice Chancellor for Finance and Administration manages and directs all financial matters for the University. Areas under his/her direction and supervision include the Offices of Accounting, Budgeting, Accounts Payable, Accounts Receivable, Purchasing, Cashiers, Financial Aid, Information Technology, Telecommunications, Instructional Technology, Institutional Research, Inventory, Insurance, Warehouse, Motor Pool, Payroll, Personnel (Human Resources), Aramark Dining Services/Catering, Bookstore, Grounds Maintenance, Custodial Services, and Building Maintenance. He/She reports directly to the Chancellor.

Vice Chancellor for Student Engagement: The Vice Chancellor for Student Engagement directs and supervises the following divisions: Office of Admissions, Office of Student Programs and Activities, Testing, Tutoring and Counseling Services, Career Services, Residence Life, Student Health Services, Intramurals and Recreation, Special Student Services, International Student Services, and Recruitment. He/She reports directly to the Chancellor.

Vice Chancellor for Advancement: The Vice Chancellor for University Advancement is responsible for planning, coordinating and implementing all fundraising endeavors throughout the University including the two College of Technology campuses. Areas under his/her direction and supervision include Foundation, Governmental Relations, Marketing, Media Services, and Graphic Design and Copy Center. He/She reports directly to the Chancellor.

Vice Chancellor for the College of Technology at Crossett: The Vice Chancellor for the College of Technology at Crossett is responsible for directing this satellite technical campus of the University of Arkansas at Monticello. He/She is also responsible for supervising all staff at the Crossett campus. The individual carries out the responsibilities and duties assigned by the appropriate UAM administration. He/She reports directly to the Chancellor.

Vice Chancellor for the College of Technology at McGehee: The Vice Chancellor for the College of Technology at McGehee is responsible for directing this satellite technical campus of the University of Arkansas at Monticello. He/She is also responsible for supervising all staff at the McGehee campus. The individual carries out the responsibilities and duties assigned by the appropriate UAM administration. He/She reports directly to the Chancellor.

Academic Unit Heads: Unit heads are appointed by the Chancellor upon the recommendation of the Vice Chancellor for Academic Affairs. All unit heads report directly to the Vice Chancellor for Academic Affairs. An academic unit head may be reassigned to other duties upon receipt of thirty (30) days' notice. Individuals promoted from a nine (9) month faculty appointment to a twelve (12) month academic unit head appointment will have their salary adjusted in accordance with UAM Operating Procedure 415.1. Likewise, individuals reappointed to a nine (9) month faculty position will have their salary adjusted accordingly.

A unit head's responsibility is the leadership and management of the academic unit. He/she is specifically responsible for the recruiting and supervision of faculty for that unit, class scheduling, the academic advising program for majors and minors, the quality and extent of curriculum (major/minor programs) and individual course offerings within the unit, faculty evaluation and development, and other duties as required by the Chancellor and/or Vice Chancellor for Academic Affairs.

The academic unit heads and the Vice Chancellor for Academic Affairs make up the Academic Council, which is the executive authority under the Chancellor for the academic areas of the campus.

B. Administrative Committees

Administrative committees are formed to serve in an advisory capacity to the administration on matters pertaining to specific areas of the University of Arkansas at Monticello. The committees report to the Chancellor through other administrative officers but may from time to time wish to bring items to the UAM Assembly for the purpose of increased communication and shared information. All committee recommendations regarding policies are referred to the University Executive Council which consists of the Chancellor, the Vice Chancellor for Academic Affairs, the Vice Chancellor for Finance and Administration, the Vice Chancellor for Student Engagement, the Vice Chancellor for University Advancement, the Vice Chancellor for the College of Technology at Crossett and the Vice Chancellor for the College of Technology at McGehee.

Before any action becomes final, it must be acted upon by this group and approved by the Chancellor. Administrative committees will not recommend policies or act on matters delegated to the UAM Assembly by the University of Arkansas System Board of Trustees.

On matters not delegated to the UAM Assembly by the University of Arkansas System Board of Trustees, the committees have three principal functions:

1. to recommend policy;
2. to recommend operating procedures and practices;
3. to recommend adjudication of conflicts or competing needs.

The annual period of committee service is from the beginning of each fall semester through the second summer term, but recommendations and nominations are made prior to the close of the preceding spring semester. In instances of resignations or other terminations, the appointing officer shall appoint new members to fill the vacancies and complete the unexpired terms. The administrative office principally concerned with the activities of the committee will provide reasonable administrative support. Chairpersons for these committees will be designated by the Chancellor. Each committee will select its own recording secretary.

Appointments of members of the faculty will be for terms of three years and arranged so that approximately one-third of the appointees will terminate each year. After completing a term of service, a faculty member is not eligible for reappointment to the same committee for the following year. Appointments of students will be for one year. Faculty members to serve on committees are recommended by the Assembly Chair. Student members are recommended by the President for the Student Government Association. Appointments will be made by the Chancellor. Ex-officio members of the University administration also serve at the discretion of the Chancellor.

A quorum composed of more than fifty (50) percent of the members is required to conduct business. Committees will meet at the call of the chairperson or on petition of more than twenty-five (25) percent of the members. A minimum of two meetings shall be held each semester with more meetings as concerns and needs require. Each committee shall keep minutes and distribute them promptly to all members with the official copy to be filed in the administrative office designated as the appointing office.

An annual report on the current year's activities shall be filed by the chairperson with the Chancellor and the appropriate administrative office prior to August 20 of each year. The annual reports shall be short but comprehensive and should give prominence to any recommended revisions, policies, practices, and procedures of the University of Arkansas at Monticello. Annual reports shall be distributed by all committees to the office of each academic unit and to appropriate administrative officers and units.

Buildings and Grounds Committee: Functions as an advisory committee for the development and review of campus plans including the structure, placement, and development of buildings and grounds.

Membership consists of the Vice Chancellor for Finance and Administration, Director of Campus Operations and Physical Plant, four non-student Assembly members, and two students.

Information Technology Committee: Formulates and reviews policies pertaining to the computer facilities. The Committee recommends additional software/hardware; programs or other utilities it deems as being potentially valuable tools for the University's computer facilities.

Membership consists of the Director of Information Technology as chairperson, two members designated by the Chancellor, two faculty members from different academic units, and one student.

Scholarship and Financial Aid Committee: Assists the administration of the University by (1) maintaining a beneficial aid program for students, (2) establishing the criteria which individual students must meet in order to receive aid, (3) awarding institutional scholarships, and (4) developing additional financial aid and scholarship sources.

Membership consists of the Director of Admissions as chairperson, Director of Financial Aid, two non-student Assembly members, and two students.

Non-Academic Staff Advisory Committee: Serves as liaison and communication channel between the various groups of the non-academic staff and the University administration.

Membership consists of six non-faculty, non-student members of the University staff. Membership should be broadly representative of the various groups of the non-academic staff.

Human Relations Committee: Responsible for the identification of discriminatory practices within the University and for recommending programs which will alleviate discrimination and improve relations among students, faculty, and staff.

Membership consists of the Human Relations Officer as chairperson, two faculty members, two students, and two staff members.

University Assessment Committee: Addresses and advances effective assessment of student learning at the University of Arkansas at Monticello.

Membership consists of the Associate Vice Chancellor for Program Development, Assessment, and Distance Learning as chairperson, four members from Academic Affairs, one member from each of the Colleges of Technology, two members from Student Engagement, one member from Finance and Administration, one member from Information Technology, and one member from Athletics.

Financial Aid Appeal Committee: Provides an avenue for all students denied assistance with a due process procedure of appeal for reinstatement if they believe there are mitigating circumstances which prevented them from meeting minimal academic standards.

Membership consists of the Director of Admissions as chairperson, two faculty members, two non-student assembly members, two student members, and the Director of Financial Aid as an ex-officio member.

C. The Constitution and Bylaws of UAM

See Appendix A

1. ORGANIZATION OF GRADUATE STUDIES

The Board of Trustees of the University of Arkansas has authorized a number of graduate certificate programs and ten master's degree programs at the University of Arkansas at Monticello: the Master of Science Degree (M.S.) in Forest Resources, the Master of Education Degree (M.Ed.), the Master of Education in Educational Leadership (M.Ed.), the Master of Arts in Teaching Degree (M.A.T.), the Master of Physical Education and Coaching (M.P.E.C.), the Master of Fine Arts in Creative Writing (M.F.A.), the Master of Music in Jazz Studies (M.M.J.S.), the Master of Art in English (M.A.), the Master of Fine Arts in Debate and Communication (M.F.A.), and the Master of Science in Nursing (M.S.N.). The graduate faculty, represented by the Graduate Council and the Vice Chancellor for Academic Affairs, bears primary responsibility for graduate courses and graduate degree programs. The graduate faculty determines academic policies and establishes qualitative standards for graduate programs. (approved 04/28/98)

A. The Office of Graduate Studies

The Office of Graduate Studies is located in Academic Affairs and is headed by the Vice Chancellor for Academic Affairs or a designee of his/her choice. Any person who wishes to earn graduate-level credit, whether as a degree-seeking student or as a non-degree student, must make formal application to, and be officially admitted by, the Office of Graduate Studies.

B. The Graduate Faculty

The graduate faculty consists of the President of the University of Arkansas System, the Chancellor, and members of the faculty holding the rank of Assistant Professor or higher who are teaching graduate classes or who have other significant involvement in graduate studies (e.g., serving on student committee, supervising research, contributing scholarly expertise, etc.). Admission to the graduate faculty will be based upon approval of

application (resume and proposed role in the program) by the Graduate Council. Other qualified individuals, including adjunct faculty, may be eligible for temporary membership to the graduate faculty based upon level of participation or expertise in scholarly activity and approval of application. Faculty who enter an inactive phase of involvement with graduate studies should notify the Graduate Council to withdraw their names from the graduate faculty.

With the approval of the Graduate Council, faculty who are not members of the graduate faculty may be assigned teaching responsibility for graduate courses.

The graduate faculty oversees graduate academic matters including policies and procedures, academic regulations, courses of instruction, admission standards, and degree requirements. Actions of the graduate faculty are implemented with the concurrence of the Chancellor. When the Chancellor does not concur in policy, action may be taken by the graduate faculty. A majority vote of the graduate faculty taken within thirty calendar days will carry the action of the graduate faculty to the President for final determination. Graduate faculty meetings, called and chaired by the Vice Chancellor for Academic Affairs, shall be called at least once each Fall and Spring Semester. The Vice Chancellor shall also call special meetings upon written petition of at least one-fifth of the graduate faculty. Announcements of each meeting with an agenda shall be sent to the graduate faculty at least one week before the date selected.

The Vice Chancellor and the Graduate Council determine the agenda for each meeting, but any other items may be presented from the floor and, with the approval of the majority, shall be added to the agenda. Minutes of graduate faculty meetings will be distributed to the graduate faculty within one week.

While retaining authority to review, the graduate faculty approves or disapproves its actions and may delegate policy-making authority to the Graduate Council. A two-thirds vote of the graduate faculty overrules a policy made by the Graduate Council when taken during a regular or special graduate faculty meeting during the semester when the Graduate Council enacted the policy. Graduate Council policies enacted outside Fall or Spring Semester periods may be recalled during meetings of the next semester.

C. The Graduate Council

The Graduate Council is a policy-making body with responsibility delegated to it by the graduate faculty. The Council, chaired by the Vice Chancellor for Academic Affairs or his/her designated representative, determines its own procedures and interprets its own actions. The Council will meet at least once each semester. Minutes of Council meetings shall be sent to the graduate faculty. In cooperation with the Vice Chancellor for Academic Affairs, the Graduate Council implements guidelines for graduate education and reviews/develops policies and procedures concerning matters submitted by academic units (e.g., admission criteria, graduate courses, proposals for new graduate courses, and the evaluation of the quality of graduate education).

The Graduate Council is made up of graduate faculty (no unit heads) and three graduate student members (one from Education, one from Arts and Humanities, and one from College of Forestry, Agriculture and Natural Resources). The graduate faculty on the Council consists of the following: two members each from the School of Education, the School of Arts and Humanities, and College of Forestry, Agriculture and Natural Resources and one member each from the School of Social and Behavioral Sciences, and Mathematics and Natural Sciences. The Vice Chancellor for Academic Affairs will serve as an *ex officio* voting member. Graduate faculty within the respective academic units elects their member(s) of the Graduate Council. The term of office for each elected member will be two years with no more than two consecutive terms unless there is no eligible replacement. Student members are elected by the Graduate Council. Any vacancies occurring during the year may be filled for the unexpired term by an election of the affected unit's graduate faculty.

D. Committees of the Graduate Council

The Graduate Council has no standing committees. However, the Council may appoint *ad hoc* committees as necessary. The Graduate Council will function as a committee of the whole for considering matters such as curriculum, standards, admissions, and similar concerns.

E. Amendments to the Organization of Graduate Studies

The statement of Organization of Graduate Studies may be amended by a two-thirds majority vote of the graduate faculty members attending a meeting in which a quorum is present. The proposed amendment must appear on the regular meeting agenda distributed to members of the graduate faculty.

CHAPTER TWO – U of A POLICIES GOVERNING FACULTY SERVICE (Board Policy 405.1)**APPOINTMENTS, PROMOTION, TENURE, NON-REAPPOINTMENT, AND DISMISSAL OF FACULTY¹**

This policy supersedes all existing policies concerning appointments, promotion, tenure, non- reappointment, and dismissal of faculty. The Board of Trustees has the right to amend any portion of this policy at any time in the future.

This policy shall be included without change or inter-lineation in the Faculty Handbook for each campus.

To the extent any provision in this policy conflicts with a campus policy, this policy shall control.

I. Definition of Terms

For purposes of this policy, the following definitions shall apply:

Appointment - An appointment is a written notice ("Notice of Appointment") that initiates the employment relationship between the Board of Trustees and the faculty member. An appointment is valid only when approved and signed by the President of the University, the Chancellor of the respective campus, the Vice President for Agriculture, the Chief Executive Officer of the respective unit, or their designee, in accordance with authority delegated by the Board of Trustees. Such appointment is subject to all applicable policies of the Board of Trustees, the University of Arkansas System, and the respective campus, division or unit.

Cause - Cause is defined as conduct that demonstrates the faculty member lacks the willingness or ability to perform duties or responsibilities to the University, or that otherwise serves as a basis for disciplinary action. Pursuant to procedures set out herein or in other University or campus policies, a faculty member may be disciplined or dismissed for cause on grounds including, but not limited to, (1) unsatisfactory performance, consistent with the requirements of section V.A.9 below, concerning annual reviews;² (2) professional dishonesty or plagiarism; (3) discrimination, including harassment or retaliation, prohibited by law or university policy; (4) unethical conduct related to fitness to engage in teaching, research, service/outreach and/or administration, or otherwise related to the faculty member's employment or public employment; (5) misuse of appointment or authority to exploit others; (6) theft or intentional misuse of property; (7) incompetence or a mental incapacity that prevents a faculty member from fulfilling his or her job responsibilities; (8) job abandonment; (9) a pattern of conduct that is detrimental to the productive and efficient operation of the instructional or work environment³; (10) refusal to perform reasonable duties; (11) threats or acts of violence or retaliatory conduct; or (12) violation of University policy, or state or federal law, substantially related to performance of faculty responsibilities or fitness to serve the University. Nothing in this provision is intended to inhibit expression that is protected under principles of academic freedom, or state or federal law.

Dismissal - Dismissal is severance from employment for cause after administrative due process as provided in this policy and Board of Trustees Policy 405.4. Termination by notice, expiration of appointment, or non-reappointment, or due to job abandonment, is not a dismissal.

¹ In most cases, academic units are organized into colleges and departments with deans, chairpersons, and faculty. The normal order is for appointment, promotion and tenure processes to utilize this structure in making recommendations. Where colleges or departments are not present, the normal order shall follow a pattern that closely mirrors the typical structure. For example, in schools without departments, the recommendations shall start with the faculty and move to the director, if applicable, and then to the dean. For the purpose of this policy, and in reference to items involving professional librarians, instructional development specialists, or museum curators, the terms "chairperson," "administrative officer," and "administrator" refer to the director or head librarian. Throughout this policy, any reference to "chairperson" includes any equivalent position.

² Each campus shall include criteria and procedures for determining "Unsatisfactory performance" in their campus policies governing faculty annual reviews. In order for a tenured faculty member to be dismissed for unsatisfactory performance, the requirements set out in V.A.9 as well as any corresponding campus policy must first be followed.

³ This need not be a separate component in the evaluation criteria of faculty, but may be considered in evaluating faculty in the areas of teaching, research and service. Subject to Section V, the criteria and procedures for annual reviews shall be developed and adopted by each campus.

Faculty - Faculty are employees who hold academic rank of lecturer, master lecturer, instructor, advanced instructor, senior instructor, assistant professor, associate professor, professor, University professor, distinguished professor or one of the above titles modified by clinical, research, teaching, adjunct, visiting, executive in residence, professor of practice, (e.g., clinical professor or adjunct assistant professor). Additional appropriate non-tenure track modifiers may be approved by the President. For the purposes of tenure and promotion policy and recommendations, a campus may define which faculty may participate in tenure and promotion related decisions. For example, institutions that offer tenure could limit for tenure and promotion matters the definition of faculty to tenured and tenured track faculty.

Individuals holding certain non-teaching titles (i.e. Director of Libraries, Instructional Development Specialist II, and Curator) also receive faculty rank. The rank that corresponds with each title is reflected in the chart below. Both the title and the academic rank will be stated in the appointment.

Instructional and Research Ranks	Library	1890 Extension Service*	Instructional Development	Museum
Professor, University Professor, Distinguished Professor	Director of Libraries, Librarian	Extension Specialist IV	Instructional Development Specialist II	Curator
Associate Professor	Associate Librarian	Extension Specialist III	Instructional Development Specialist I	Associate Curator
Assistant Professor	Assistant Librarian	Extension Specialist II		Assistant Curator
Instructor		Extension Specialist I		

*Academic rank will be granted only if the individual is appointed in an academic unit.

Non-Reappointment - Non-reappointment means that a non-tenured, tenure-track faculty member is not offered a next successive appointment for employment at the end of a stated appointment period. It is effected by a written notice sent in compliance with the time limits hereafter specified (IV.B.). This provision and the time limits specified in IV. B. do not apply to the non-renewal of an appointment of a non-tenure-track faculty member.

Probationary Period - The probationary period is the time a faculty member spends under appointments for full-time services in a tenure-track position on one campus of the University of Arkansas prior to being awarded tenure.

Promotion - Promotion is advancement based on merit to a higher rank or title. All promotions must be approved by the Board of Trustees and become effective with the next year's appointment following action of the Board of Trustees, unless a different effective date is approved by the Board.

Resignation - Resignation is voluntary termination of employment by an employee. The dean or director of the unit to which the employee is assigned is authorized by the Board of Trustees to accept the resignation.

Suspension - Suspension is temporarily relieving an employee of duties. A disciplinary suspension or suspension pending an investigation does not alter the nature of an individual's appointment. Suspension may be with or without pay as warranted by the circumstances. If a faculty member is suspended as a disciplinary measure, the faculty member may grieve or appeal the suspension in accordance with the policies of the campus, division or unit.

Tenure - Tenure is the right of continuous appointment, awarded by the President to eligible members of the faculty upon successful completion by each of a probationary period. Once granted, tenure ceases to exist only by (1) dismissal for cause, as defined in section I and according to the procedures set forth in Section IV.C., (2) demonstrably bona fide financial exigency, (3) reduction or elimination of programs, (4) retirement, (5) resignation, or (6) job abandonment. The probationary period may be waived as provided in Section IV.A.4. Salaries for tenured faculty may be adjusted for disciplinary reasons, or based on material changes in job duties or funding sources.⁴ NOTE: Tenured faculty holding positions eliminated by reduction or elimination of programs will be relocated in other academic units of the campus for which they are qualified whenever possible. A position occupied by a tenured faculty member that was eliminated as a result of reduction or elimination of a program may not be reactivated for a period of five academic years.

Tenure-Track and Non-Tenure-Track Positions - Tenure-track positions are ranks of assistant professor, associate professor, professor, University professor, and distinguished professor. Faculty appointed to clinical attending positions at the University of Arkansas for Medical Sciences, faculty positions designated as clinical positions⁵ at other campuses, or other non-tenure-track positions approved by the President, may bear the designation of assistant professor, associate professor, professor, University professor or distinguished professor⁶ but in no event shall be considered tenure-track positions and shall acquire no tenure rights by virtue of occupying such positions. Such non-tenure track positions shall be set forth in applicable promotion and tenure policies approved by the President, following review by the Office of General Counsel; such policies may authorize term appointments beyond one year, but not to exceed five years, under merit-based campus procedures approved by the President. Salaries for non-tenured faculty may be adjusted for disciplinary reasons, or based on material changes in job duties or funding sources.⁷

Terminal Appointment - A terminal appointment is a final appointment, the expiration of which results in termination of an individual's employment.

Termination - Termination is the general term to describe severance of employment from the University. Termination may be by resignation, retirement, dismissal, written notice, non-reappointment, expiration of appointment, or job abandonment.

Year - Year will be either a fiscal year (July 1 through June 30 next) or an academic year (fall and spring semesters of the same fiscal year), unless otherwise designated.

II. Appointments

A. Faculty

The following principles shall apply to appointments to faculty positions:

1. General

Appointments shall not exceed one academic or fiscal year except in the following limited circumstances: (1) term appointments beyond one year for non-tenure track faculty under merit-based procedures specifically established for that purpose as permitted in Section I (Tenure-Track and Non-Tenure Track Positions); or (2) appointments to faculty positions for summer school.

⁴ Subject to all University policies, any salary reduction for tenured faculty must be preceded by notice and an opportunity to appeal the proposed reduction to the chief academic officer of the campus, division or unit.

⁵ When a faculty member who holds a tenure-track position teaches in a clinical setting, the faculty member is not holding a "clinical position" for purposes of this provision.

⁶ Solely at those institutions that do not offer tenure, the rank of University or distinguished professor may be awarded to non-tenured faculty who otherwise meet the qualifications for the rank as set out in Board Policy 470.1.

⁷ Subject to all University policies, any salary reduction for tenure-track faculty or faculty with merit-based term appointments must be preceded by notice and an opportunity to appeal the proposed reduction to the chief academic officer of the campus, division or unit.

Recommendations for appointments to the faculty will be made by the departmental chairperson or equivalent after consultation with the faculty concerned, and are subject to the approval of the dean, the chief academic officer, and the chief executive officer of the campus. (See definition of appointment, Section I.)

Criteria and procedures for the initial appointment and successive appointment of all faculty members on a campus shall be adopted by each campus. As a general practice, the faculty, through its governance structure, will initiate the process, on its own or at the request of the Chancellor (or chief executive officer) of the campus. The deans and chief academic officer of the campus will then have an opportunity to give their advice regarding these criteria and procedures. Thereafter, these criteria and procedures must be submitted to the Chancellor (or chief executive officer) of the campus and the President for approval. More detailed criteria and procedures may be adopted by the faculty and chairperson of each academic unit; these criteria and procedures must be submitted to the dean, the chief academic officer of the campus, the Chancellor (or chief executive officer) of the campus, and the President for approval. Campus and unit criteria and procedures must be consistent with and are subject to this and other applicable University policies.

2. Initial Appointment

An appropriate degree or professional experience is an essential qualification for appointment to positions at academic ranks.

Other important qualifications include experience in teaching, research, or other creative activity, and educational service at other colleges and universities or in nonacademic settings.

3. Successive Appointments

Tenured faculty members have a right to a next successive appointment except for the reasons for termination of a tenured appointment given in Section I under definition of tenure. Salaries for tenured faculty may be adjusted for disciplinary reasons, or based on material changes in job duties or funding sources.⁸ Non-tenured 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 that, in the case of tenure-track faculty, the appointment does not extend the time in probationary status beyond the limits set in Sections IV.A.4 and IV.A.12. In the event that a non-tenured, tenure-track faculty member is not recommended for reappointment, the procedure described in Section IV.B. shall be followed. Non-tenure-track faculty with a term appointment for a specified term of years do not have a right to an appointment beyond the appointment period.⁹

B. Administrative Appointments

Consistent with longstanding policy and practice, appointments as dean are made by the chief executive officer or chief academic officer. Deans serve at the pleasure of the chief executive officer or chief academic officer. Appointments as department head or chair, or as director of an academic program or center, are made by the dean, in consultation with the chief executive officer or chief academic officer, and serve at the pleasure of the dean. Additional criteria or procedures relating to the making of such appointments may be adopted by the campus, but must be submitted to the dean, the chief academic officer of the campus, the Chancellor (or chief executive officer) of the campus, and the President for approval. Tenure may only be granted in faculty status and not in an administrative appointment.

III. Promotion

Promotion in academic rank shall be based primarily on the accomplishments of the individual while in the most recent rank. No minimum time in rank is required before a faculty member is eligible for promotion, nor is there

⁸ Subject to all University policies, any salary reduction for tenured faculty must be preceded by notice and an opportunity to appeal the proposed reduction to the chief academic officer of the campus, division or unit.

⁹ Subject to all University policies, nothing in this provision precludes a non-tenure-track faculty member, with a merit based, multi-year term appointment, from having a rolling appointment.

a maximum time an individual may remain in a given rank except as limited by Sections IV.A.4. and IV.A.12. However, individual accomplishments and potential for continued value to the University are required for promotion. Effective July 1, 2018, no faculty member in a tenure-track position shall be promoted to the rank of associate professor or higher 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.)

Generally, recommendations for promotion shall originate with the chairperson, but may be initiated in accordance with departmental, unit, or campus rules, which have been submitted to the dean, chief academic officer, Chancellor (or chief executive officer) and President for approval. Faculty members who are being considered for promotion shall be given the opportunity to submit relevant material regarding their professional accomplishments, which they believe will facilitate consideration of their competence and performance. Each campus shall provide for the inclusion of peer¹⁰ evaluation in the consideration of faculty nominated for promotion.

Criteria and procedures for promotion to each rank on a campus, including an appeals procedure for those desiring reconsideration of a negative recommendation, shall be adopted by each campus. As a general practice, the faculty, through its governance structure, will initiate the process of preparing such criteria and procedures, on its own or at the request of the Chancellor (or chief executive officer). The deans and chief academic officer of the campus will then have an opportunity to give their advice regarding the criteria and procedures. Thereafter, these criteria and procedures must be submitted to the Chancellor (or chief executive officer) of the campus and the President for approval. More detailed criteria and procedures may be adopted by the faculty and chairperson of each academic unit; these criteria and procedures must be submitted to the dean, the chief academic officer of the campus, the Chancellor (or chief executive officer) of the campus, and the President for approval. Campus and unit criteria and procedures must be consistent with and are subject to this and other applicable University policies.

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.

IV. Tenure, Non-reappointment, and Dismissal

A. Tenure

1. The granting of tenure implies that the individual has completed successfully his or her probationary period and has become a permanent member of the University community. As such, he or she acquires additional procedural rights in the event that dismissal proceedings may be brought against him or her.
2. Only full-time faculty with ranks of associate professor, professor, University professor, and distinguished professor are eligible to be awarded tenure. An assistant professor is eligible to seek tenure accompanied by a concurrent promotion to associate professor. Faculty and other employees with the following titles are ineligible to be awarded tenure: clinical, research, teaching, adjunct, visiting, professor of practice or executive in residence faculty, research associates or research assistants, graduate associates or graduate assistants, instructors, advanced instructors, senior instructors, lecturers, and master lecturers. Faculty appointed to clinical attending positions at the University of Arkansas for Medical Sciences, other faculty positions designated as clinical positions, or other non-tenure track positions approved by the President, although designated assistant professor, associate professor or professor, are ineligible to be awarded tenure. Academic administrators not appointed to a teaching or research unit may be awarded academic rank in addition to their administrative titles, with the concurrence of the faculty and administrative officer of the academic unit in which such rank could lead to tenure, in which case they may acquire tenure as faculty, but not as administrators. Other administrators and staff whose primary duties do not involve teaching regularly scheduled credit-hour courses, but who occasionally teach courses, are not eligible for tenure and do not acquire credit for service toward tenure for such teaching activities.

¹⁰ "Peer" shall be defined by each campus as part of its policies governing promotion and tenure or faculty annual reviews.

3. Tenure rights apply to the area or areas of the faculty member's expertise and in the academic unit(s) in which his or her position is budgeted (examples: Department of English (not College of Arts and Sciences), UAF; School of Law, UALR; Library, UAM; Departments of Music and Education, UAPB). Tenure rights are confined to a particular campus and are not applicable on another campus of the University of Arkansas. Tenure and tenure rights are not awarded in a named or endowed chair or professorship or in any administrative appointment.
4. 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 his or her job; (e) a qualifying exigency arising from the military deployment of an employee's spouse, son, daughter, 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, son, daughter, 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 he or she is 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 for approval and must also be approved by the dean (or approved through other established administrative channels), the vice chancellor for academic affairs, the Chancellor (or chief executive officer) of the campus, 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 he or she will not be reappointed may not subsequently request to suspend the probationary period under policy.

5. Upon the recommendation of the department chair¹¹, after consultation with the departmental faculty and with concurrence of the dean, the vice chancellor for academic affairs, and the Chancellor (or the chief executive officer), new appointees at the rank of associate professor, professor, University professor, or distinguished professor, who possess the requisite qualifications, may be granted immediate tenure. Immediate faculty tenure may also be granted, under this same procedure, in connection with the hiring of senior leadership positions.
6. Generally, recommendations for tenure shall originate with the chairpersons, but may be initiated as provided for in departmental, unit or campus rules, which have been submitted to the dean, chief academic officer, Chancellor (or chief executive officer) and President for approval. Faculty members who are in tenure-track positions who are being considered for tenure shall be given the opportunity to submit relevant material documenting his or her professional performance which they believe will facilitate consideration of their accomplishments and potential.

¹¹ In Schools without departments and department chairs, refer to footnote 1.

7. Criteria and procedures concerning the awarding of tenure on a campus, including an appeals procedure for those desiring reconsideration of a negative recommendation, shall be adopted by each campus. As a general practice, the faculty, through its governance structure, will initiate the process of preparing such criteria and procedures, on its own or at the request of the Chancellor (or chief executive officer) of the campus. The deans and chief academic officer of the campus will then have an opportunity to give their advice regarding these criteria and procedures. Thereafter, these criteria and procedures must be submitted to the Chancellor or chief executive officer of the campus and the President for approval. More detailed criteria and procedures may be adopted by the faculty and chairperson of each academic unit; these criteria and procedures must be submitted to the dean, the chief academic officer of the campus, the Chancellor (or chief executive officer) of the campus, and the President for approval. Campus and unit criteria and procedures must be consistent with and are subject to this and other applicable University policies.
8. The President will not consider awarding tenure to a faculty member in a probationary status without obtaining the prior recommendation of the faculty member's departmental faculty, chairperson, dean, chief academic officer, and the Chancellor (or chief executive officer) of the campus concerned.
9. A faculty member, on attaining tenure, shall receive a notice from the chief executive officer of the campus affirming the acquisition of such rights. No person shall lose tenure rights by acceptance of leave-of-absence approved pursuant to University policy, or by appointment to a University of Arkansas administrative position.
10. Tenure becomes effective at the beginning of the nine- or twelve-month appointment period following the President's action granting tenure (July 1 for twelve-month appointments, and the beginning of fall semester for nine-month appointments).
11. Each year at the meeting at which promotions are considered by the Board of Trustees, the President shall inform the Board of the names of each person awarded tenure during the preceding twelve months, and shall indicate for each such individual the recommended rank for promotion and the faculty member's academic discipline.
12. Subject to any extension of the probationary period under IV.A.4, an individual in a tenure-track position who was not awarded tenure with any of the first six academic year or fiscal year appointments must be evaluated as specified in Section IV.A.6 and 7 during the sixth appointment. If he or she is not approved for tenure, the seventh appointment shall be a terminal appointment and the individual may not be considered for tenure during the seventh appointment.
13. A faculty member holding tenure rights may be dismissed for cause only after the procedures prescribed in Section IV.C. have been followed. Provided the requirements set out in V.B.9 as well as any corresponding campus policy have been satisfied, a tenured person notified of dismissal for reasons of unsatisfactory performance will be given notice of dismissal twelve months prior to termination of employment. Dismissal on other grounds may be immediate (if the dismissal is not contested by the faculty member) or upon the conclusion of any procedures prescribed in Section IV.C. This provision does not create an award of severance pay, but assumes the full performance of University responsibilities and duties assigned for the period between dismissal notice and final termination. Termination of a faculty member's employment because the faculty member has abandoned his or her job duties, or because the faculty member has accepted another position, shall not constitute dismissal under this policy.

14. No faculty member shall be dismissed, or otherwise disciplined, or denied reappointment in violation of the following principles of academic freedom, but the observation of the limitations stated herein is the responsibility of each faculty or staff member. Subject to all provisions of this and other applicable University policies, mere expressions of opinions related to the faculty member's scholarship, the subject matter of their assigned teaching duties, and University employment-related service activities (e.g. committee assignments and campus governance activities), however vehemently expressed and however controversial such opinions may be, shall not constitute cause for dismissal. The threat of dismissal will not be used to restrain faculty members in their exercise of academic freedom or rights.
- a. The faculty member is entitled to full freedom in research and in the publication of results, subject to the performance of his or her other academic duties, but personal research for pecuniary return requires prior approval by the appropriate University authorities and must be in accordance with Board Policy 450.1.
 - b. The faculty member is entitled to freedom in the classroom in discussing the subject of the course, but should not teach material inappropriate or unrelated to the course, and should maintain a respectful and professional academic learning environment.
 - c. The University faculty member is a citizen, a member of a learned profession, and a member of an educational community. Speaking or writing as a citizen, the faculty member is free from institutional censorship or discipline. However, as a person of learning and as a member of an educational community, the faculty member has a responsibility for awareness that the public may judge the profession and the institution by his or her utterances. Hence, faculty should at all times make an effort to be accurate, exercise good judgment and appropriate restraint, show respect for the opinions of others, and indicate that they are not spokespersons for the institution. Faculty are expected to contribute to the productive and efficient operation of the instructional and work environment.

B. Non-Reappointment

These procedures apply to non-tenured faculty members who are in tenure-track positions who are not offered a next successive appointment for the period following the expiration of a current appointment. These procedures do not apply to faculty in clinical attending positions at the University of Arkansas for Medical Sciences bearing the designation of assistant professor, associate professor or professor, other clinical faculty, or other non-tenure-track faculty.

The appointment of a non-tenured, tenure-track faculty member may be terminated effective at the end of the appointment period, at the option of either the individual or the University.

A chairperson, dean, or chief academic officer who decides not to recommend a non-tenured, tenure-track faculty member for reappointment shall notify him or her in writing in accordance with the following schedule and shall enclose a copy of this section with the letter of non-reappointment:

For the first year of service, not later than March 1, if the appointment expires at the end of that academic year; or at least three months in advance of its termination if the appointment expires at some other time during the year.

For the second year of service, not later than December 15, if the appointment expires at the end of that academic year; or at least six months in advance of its termination if an appointment expires at some other time during the year.

After the second year of service, at least twelve months before the expiration of the terminal appointment. The terminal appointment will be for the academic or fiscal year, according to the appointment last held by the individual.

The individual, upon being notified that he or she will not be reappointed, may request, within ten working days after receipt of the notice, a meeting with the dean of the school or college, or other appropriate administrators. The meeting shall be held within five working days or as soon as practical thereafter. Following the meeting with the dean, if the dean reaffirms the recommendation of non-reappointment, within five working days the employee may request a meeting with the chief academic officer of the campus.¹² Within ten working days following the meeting with the chief academic officer, or as soon as possible thereafter, the chief academic officer will make the final decision on any request that the non-reappointment be reconsidered.

In considering the matter, the dean and chief academic officer may consult with other University employees with relevant knowledge regarding the individual's performance. If the individual does not request these interviews within the time limits stated above after receipt of notification of non-reappointment, the matter shall be considered closed.

C. Dismissal

This section applies to all tenure-track or tenured faculty members. Dismissal of non-tenure-track faculty and other personnel is addressed in Board of Trustees Policy 405.4.

1. Preliminary Proceedings

- a. Except in circumstances where there are personal safety concerns and consistent with applicable law, when a chairperson 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 chairperson or dean shall first discuss the matter with the faculty member privately. After the discussion, if the decision of the chairperson or dean is to recommend dismissal, he or she shall prepare a statement of the grounds constituting the cause for dismissal and forward it through the chief academic officer¹³ to the chief executive officer on the campus, with a copy to the faculty member. If there are personal safety concerns, the private meeting can be bypassed and the chairperson or dean can proceed with providing the statement of grounds for dismissal through the chief academic officer to the chief executive officer on campus, with a copy to the faculty member. If the chief executive officer of the campus, after considering the recommendation of the chairperson or dean, decides that a proceeding should be undertaken, action shall be commenced according to the procedures which follow.
- b. If requested by either party, or if directed by the chief executive officer of the campus, 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.

2. Hearing Procedures

The formal proceedings shall be initiated by a communication addressed to the individual by the chief executive officer of the campus informing him or her of the dismissal and the grounds for it, and that, if he or she so requests, a hearing to recommend whether his or her employment by the University shall be terminated on the grounds stated, will be conducted at a specified time and place by a faculty committee constituted as described in Section 4 below. 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 he or she is entitled, including the right to advice of counsel.

¹² For purposes of the Clinton School of Public Service, the employee may request a meeting with the Vice President of Academic Affairs.

¹³ For purposes of the Clinton School of Public Service, the statement of grounds shall go directly to chief executive officer of the campus, with a copy to the faculty member.

The individual shall indicate whether he or she wishes a hearing and, if so, shall file with the chief executive officer of the campus within two weeks of the date of the mailing of the communication by the chief executive officer of the campus an answer to the statement of grounds for the proposed dismissal.

If the individual does not request a hearing, no further action shall be taken. 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 chief executive officer of the employee's acquiescence in the dismissal. Similarly, the administration may drop dismissal proceedings at any stage.

3. 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 chief executive officer, in consultation with the President. Such suspension shall be with pay. This provision does not preclude disciplinary suspension without pay.

4. Hearing Committee

The faculty of each campus shall establish a systematically rotated panel of faculty from which hearing committees can be drawn. To hear a particular case a committee, selected from the panel in accordance with campus policies, shall be composed of faculty members of departments not involved in the dismissal.

Upon receipt from the chief executive officer of the campus of a copy of the statement of grounds for dismissal, accompanied by the individual's answer thereto, the chairperson of the hearing committee shall conduct hearings and recommend a course of action as provided in Section IV.C.5.

5. Committee Proceedings

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.

In addition to the members of the committee, only the person requesting the hearing and his or her representative, the chief executive officer of the campus or his or her designee, and a representative, and witnesses called by the committee are permitted to attend the hearing.

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 his or her defense.

The chief executive officer of the campus shall have the option to attend or not to attend the hearing, and he or she may select a designee to assist in developing and presenting the case. The chief executive officer or designee may be assisted by the representative in developing and presenting the case and in other matters related to the hearing.

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.

The individual shall have the aid of the committee when needed in securing the attendance of witnesses. The individual or his or her representative and the chief executive officer of the campus (or designee) or his or her representative shall have the right within reasonable limits to question all witnesses who testify orally.

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.

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.

6. 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 chief executive officer of the campus or his or her 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 chief executive officer of the campus 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 his or her decision. The decision of the President shall be transmitted to the chief executive officer of the campus and to the individual involved.

7. 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 his or her 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.

V. Annual Review

An annual review of the work and status of each faculty member shall be made on the basis of assigned duties and according to criteria and procedures required herein. Each year the chief academic officer of each campus shall (a) require of each chairperson an assessment of the performance of all faculty members in the academic unit, including an identification of all faculty development needs and of all problems in performance of faculty, and (b) in consultation with the Chancellor (or chief executive officer), take steps designed to insure compliance on that campus with all criteria and procedures for annual reviews.

A. Tenured and Tenure-Track Faculty

Provided a faculty member is in substantial compliance with applicable University policies and legal requirements, the annual review of each faculty member shall provide the primary basis for the chairperson's recommendations relating to salary, promotion, granting of tenure, successive appointment, non-reappointment, and dismissal. Furthermore, this 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.

Criteria and procedures for an annual review of all tenured and tenure-track faculty shall be adopted by each campus. As a general practice, the faculty, through its governance structure, will initiate the process of preparing such criteria and procedures, on its own or at the request of the Chancellor (or chief executive officer) of the campus. The deans and chief academic officer of the campus will then have an opportunity to give their advice regarding these criteria and procedures. Thereafter, the criteria and procedures must be submitted to the Chancellor (or chief executive officer) of the campus and the President for approval. More detailed criteria and procedures may be recommended by the faculty and chairperson of each academic unit; these criteria and procedures must be submitted to the dean, the chief academic officer of the campus, the Chancellor (or chief executive officer) of the campus, and the President for approval. All procedures for annual reviews adopted by a campus shall include provision for and details for implementation of the following:

1. Within a reasonable time after the beginning of the first appointment of each faculty member: written notification to the faculty member of the criteria, procedures, and instruments currently in use in assessing performance;
2. Within a reasonable time after the beginning of each academic year: written notification to each faculty member of that year's assignments, review schedule, and the criteria, procedures, and instruments to be used that year;
3. Reasonable opportunity for each faculty member to submit any relevant material documenting his or her professional performance to be considered in the annual review;
4. Peer evaluation, made fully available to the faculty member and those conducting the review;
5. Student evaluation of teaching, made fully available to the faculty member and those conducting the review;
6. Prior to the chairperson's completion of the annual evaluation (including any recommendations based on the evaluation) in any year: (a) a meeting between the chairperson and faculty member to discuss all issues relating to the review,¹⁴ (b) providing to that faculty member a copy of the chairperson's intended evaluation and recommendation(s), and (c) a reasonable opportunity for the faculty member to submit a written response to the annual evaluation (including any recommendations), which will to be forwarded to each subsequent level of review;
7. As long as a faculty member is employed by the University and for at least three years thereafter: maintenance of annual review forms, recommendations, associated narratives, and all other relevant materials used in or resulting from the annual reviews of that faculty member;

¹⁴ In the case of a tenured faculty member who has a satisfactory performance evaluation, a faculty member can waive the meeting requirement.

8. Availability to each faculty member of all writings used in or resulting from the annual reviews of that faculty member.
9. In order to maintain a high quality and productive educational environment, annual review procedures adopted at the campus level must provide for prompt, meaningful and effective means of addressing unsatisfactory faculty performance. Effective July 1, 2019, campus procedures shall require that any tenured faculty member who receives an **overall** unsatisfactory performance rating¹⁵ be placed on a remediation plan. The remediation plan shall be developed by the faculty member's academic unit in consultation with the faculty member and shall include remedial measures 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, 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 Section IV.C.

B. Non-Tenure-Track Faculty

Faculty who are not in tenure-track positions shall be evaluated by procedures adopted by each campus. Such procedures shall provide guidance and assistance to faculty in their professional development and academic responsibilities. To the extent applicable and as fully as practicable, the criteria referenced in V. A. (especially with regard to peer and student evaluations) should be utilized in developing such campus procedures. Any campus procedure developed must be submitted to the Chancellor (or chief executive officer) of the campus and to the President for approval.

¹⁵ As part of its criteria and procedures for annual review, each campus is responsible for establishing the criteria by which an "overall" performance rating is determined.

March 29, 2018 (Revised)
 October 2, 2001 (Revised)
 September 18, 1998 (Revised)
 August 11, 1998 (Corrected)
 June 6, 1997 (Revised)
 April 25, 1997 (Revised)
 September 16, 1994 (Revised)
 June 16, 1989 (Revised)
 January 23, 1987 (Revised)
 September 17, 1982 (Revised)
 June 18, 1982 (Revised)
 February 8, 1980 (Revised)
 April 20, 1962, and Revisions

Post-Tenure Review

In addition to annual evaluations, each tenured faculty member will undergo a more thorough evaluation every five years. The Post-Tenure Review evaluation procedures will follow the guidelines established for the Annual Faculty Evaluation of tenured and tenure-track faculty.

Tenured faculty will continue to demonstrate reasonable contributions in teaching, professional growth and development, and service. If a tenured faculty member's performance is "less than satisfactory" in any of the three professional development areas, the following plan is to be used to address the concern.

A tenured faculty member who receives a "less than satisfactory" Post-Tenure Review Evaluation will, in conjunction with the academic chair/dean, develop a plan for improvement to be implemented for the following Annual Evaluation period. During the next Annual Evaluation period, the faculty member will present evidence of having positively addressed the concerns raised in the previous evaluation. Should the faculty member fail to take enough positive steps to remedy the initial "less than satisfactory" performance, the faculty member will work with three faculty colleagues from the academic unit to develop a plan for improvement and goals to achieve during the next year.

In the third year of this process, if the faculty member again fails to make reasonable progress in addressing the problems outlined in the initial plan for improvement, the faculty member will undergo another formal five-year Post-Tenure Review evaluation the next year.

At any point in this process when the faculty member presents evidence of having positively addressed the concerns raised in the initial Post-Tenure Review evaluation, the faculty member returns to the normal five-year Post-Tenure review process. The appeal process for the Post-Tenure Review will follow the same guidelines as those established for the tenure/promotion candidates.

Approved by UAM Faculty Council
November 30, 1998

CHAPTER THREE - APPOINTMENT, REAPPOINTMENT, PROMOTION, TENURE, & DISMISSAL GUIDELINES

(Adopted by UAM Assembly April 28, 1992 and approved by President B. Alan Sugg June 16, 1992)

The following criteria and procedures, as an implementation of Board Policy 405.1, will govern the appointment, reappointment, promotion, tenure, and dismissal of faculty members on the campus of the University of Arkansas at Monticello. Additional requirements and specifications are set forth in departmental guidelines. (Contact your Academic Unit Head or the Vice Chancellor for Academic Affairs (VCAA) for guidelines developed by your academic unit.)

I. FACULTY RANKS

The University employs faculty in three academic ranks eligible for both promotion and tenure. The highest of these ranks is that of Professor, followed by Associate Professor and Assistant Professor. Progression through academic ranks recognizes a process of professional maturation among the faculty. The University also appoints faculty to the rank of Instructor, which is a non-tenure track position, but eligible for promotion.

Faculty holding the rank of *Professor* serve as role models for all faculty of the institution. Professors should exemplify distinguished classroom teaching and embody collegial activities which nourish the larger learning community. Professors will have sustained their accomplishments over time and their scholarly inquiry will include both synthesis and analysis while broaching larger issues and policy questions within a discipline.

As one of the two senior ranks of faculty, *Associate Professors* will have demonstrated their commitment to high quality, appropriate values and ideals for the life of learning and their willingness to promote stable and interdependent relationships among the faculty. Their maturing careers will illustrate distinguished development.

The rank of *Assistant Professor* normally represents the rank of initial appointment for faculty entering the tenure track. The assistant professor is expected to participate in professional activities that build a foundation for future growth and development and prepare faculty for tenure and entry into the senior ranks of service.

The rank of *Instructor* does not carry eligibility for tenure. Instructors undertaking and completing substantial proportions of a doctoral program may be promoted to the rank of Assistant Professor. When promoted, full completion of expectations for promotion to the rank of Associate Professor with tenure must be completed within six years, exactly as if the individual had begun the faculty appointment with the rank of Assistant Professor.

II. APPOINTMENT AND REAPPOINTMENT

The University will make initial appointment of faculty consistent with faculty qualifications and University need. Assistant Professor is the normal, initial rank of appointment for tenure-track faculty. It is usually awarded to faculty holding the doctorate. Occasionally, persons who have completed a substantial proportion of a doctoral program may be appointed to this rank. Initial appointments to the rank of Assistant Professor may also be made to persons holding the M.S.N., M.B.A./CPA, M.F.A., or M.S. in degrees such as computer science, computer information systems, or information sciences. Appointments are initiated through the academic units following procedures designed to insure equal opportunity in recruiting and hiring a well-qualified, diverse faculty to the fullest possible extent. No appointment is made for a period longer than one year. Faculty will be evaluated each year according to established procedures. Annual evaluations must include dimensions of teaching, professional growth, and development including scholarship and service. Annual evaluations will also give feedback on progress toward achieving established criteria for the awarding of promotion or tenure. Decisions on reappointment will take into consideration the individual faculty member's effectiveness in performance of duties. Fluctuations in departmental needs and university resources, however, will at times dictate non-reappointment for reasons other than assessment of merit. Individuals on terminal appointments should not expect reappointment.

III. PROMOTION

A. Criteria

Promotion of a faculty member from one academic rank to a higher rank is based upon merit in addition to a period of service and experience and is awarded in recognition of significant achievement following the candidate's last promotion. Normally the earned doctorate or terminal degree and five years of service in rank are required before promotion to the next rank. At the time of initial appointment, credit for time in rank may be awarded for earlier professional experience appropriate to a UAM assignment; such credit must be stated in writing and will not exceed two years.

The doctorate is presumed to be an essential professional qualification for promotion. Faculty in tenure-track positions, both with and without the doctorate who fulfill university-wide and departmental criteria are eligible for promotion and tenure through the rank of Professor. Faculty in tenure-track positions will be evaluated annually and advised about their progress toward the next rank.

Assistant Professors will not normally be considered for promotion to Associate Professor until they are in their fifth year as Assistant Professor at UAM. Faculty will usually be considered for tenure and promotion to Associate Professor at the same time. Associate Professors will not normally be considered for promotion to full Professor until they are completing their fifth year in rank of Associate Professor at UAM. No more than two years' credit toward time in rank for promotion will be given for professional experience appropriate to the UAM assignment.

Promotion to each rank will require evidence of continued growth since the last promotion, or, in the case of promotion to Assistant Professor, since the initial appointment to the rank of Instructor. Time in rank alone does not guarantee promotion. All candidates for promotion or tenure must document effective classroom teaching, sound scholarship, a program of self-renewal, and service activities. Academic units must include dimensions of teaching, scholarship, professional growth, and public service and may not omit these dimensions in departmental evaluations of candidates for promotion or tenure.

The following paragraphs attempt to describe attributes broadly enough to encourage uniqueness among the faculty but explicitly enough to foster consistent evaluation of individuals. Individual academic units may refine descriptions in order to clarify standards appropriately. However, no academic unit may exclude these described dimensions.

1. Teaching

Teaching represents the unifying mission of the University throughout the faculty and the academic units. While research is easy to measure, measurement and documentation of effective teaching are quite difficult, but nevertheless can and must be done. The techniques used to gauge effective teaching may and in fact should vary among the disciplines, but a common effort must be made to develop adequate tools and procedures. Effective teaching can be described and evaluated by faculty as well as students. Documented evidence of high quality teaching, including adequate classroom observations, is required for promotion or tenure. Individual academic units should define appropriate processes for evaluating teaching effectiveness.

Effective teachers mark the path of their progress with many clues. Course bibliographies often signal quality of teaching as do appropriately revised syllabi. Further evidence of effective teaching might come from faculty listings of innovative methods, applications of current technology, engagement of visiting colleagues, and use of library resources. As with other areas, it is the duty of the individual faculty member to document effective teaching performance.

2. Scholarship

The University has traditionally been given the societal role of generating, applying, and transmitting knowledge. In this respect, faculty members should be involved in creating, revising, and sharing knowledge through activities such as research, writing, and presentations at professional meetings. In addition to generating “new” knowledge, faculty members are charged with synthesizing existing knowledge and presenting it in new and challenging ways to students and others. In addition, by “translating” knowledge, faculty members can better educate the public and make the University more applicable to society at large.

Rather than dichotomous activities, scholarship and teaching represent mutually supportive activities. Good teaching is informed by scholarship because sound scholarship and continual faculty learning form the content of

teaching. Scholarship, then, is broadly defined, may take many forms, and may yield a variety of products for peers to evaluate. Faculty scholarship includes the following faculty activities:

- Research producing new knowledge;
- Research producing new applications of knowledge;
- Synthesizing knowledge;
- Extending the audience for new knowledge through new communications;
- Pedagogical application of new methods, information, knowledge;
- Performance;
- Creation of art, music, or literature;
- Invention or design.

Products of scholarship may include materials such as the following:

- Books, published and in progress (press);
- Research papers;
- Computer-assisted instruction materials;
- Recitals;
- Computer programs;
- Copyrighted materials;
- Leadership in professional organizations;
- Monographs;
- Instructional materials for professional peers;
- Grant submission with funding;
- Book reviews;
- Works of art;
- Video productions;
- Television programming;
- Speeches and addresses.

Whether the product of scholarship is published or not, the scholarship itself must still be evaluated by university peers.

Successful “grantsmanship” is normally regarded as a desirable activity and one which the University would like to encourage. Acquisition of grants is normally classified as adjunct to scholarship and research and should be appropriately awarded. In addition to scholarship and the traditional research area, grant activity is often related to and should be considered under service.

3. Service

Faculty members are expected to engage in campus, professional and community service where appropriate. The University exists as an institution and carries on its mission by virtue of faculty involvement in departmental and campus governance, academic and organizational advising, leadership in professional organizations, and sharing of professional time and expertise within the community. Faculty engage in many civic and social activities as good citizens. While all civic activities are noteworthy, all do not necessarily fall within the bounds of faculty achievement. The University includes community service as a major aspect of its mission and appropriate faculty projects should be included in descriptions of achievement. Descriptions of faculty achievements should include those activities in which faculty may employ their professional and intellectual expertise in service to the community. The University desires to understand the universe of faculty achievement rather than seeking information about general public service.

Of course, all faculty do not have opportunities to address community service responsibilities using their profession

and intellectual expertise. These activities should not be required of all faculty. Nevertheless, achieving tenure and advancing in rank should represent faculty accomplishments and when faculty perform community services, the University wishes to consider the achievements.

All faculty can undertake service to the University community and each faculty member should assume responsibilities of academic citizenship. These responsibilities include all matters of academic governance, within academic units and within the whole university. Pursuing the collegial work of committees and task forces should not be borne by few but undertaken willingly by each member of the faculty. Student organizations, both co-curricular and extra-curricular, require faculty assistance and advisement. At times, service to the academic community may seem onerous, but a healthy collegial community rightfully expects its faculty to assume the tasks of community service.

As with professional growth and development, scholarship, research, and grant activity have an important place under service. A variety of grant opportunities exist which significantly benefit the University community. These include grants for instructional equipment, campus speakers, and enrichment programs for high school students, University students, and KB12 teachers. Such grants should be recognized and considered under professional service activities. The weight and significance of any particular activity will be evaluated in relation to the individual's role in the activity and faculty duties.

4. Professional Renewal Service

The continued growth and development of the University's faculty depends upon the professional renewal of its committed staff. Therefore, every candidate for promotion and tenure should provide documentation demonstrating a persistent program of professional renewal. The documentation should include a description of short-term goals and activities, long-range plans, and describe steps already completed in the program.

Failing to find sufficient documented evidence of achievement constitutes the sole and sufficient reason for not recommending a candidate for promotion or tenure. Candidates bear the weight both of achievement and documentation.

B. Procedures

Each year all faculty members will be notified through a general announcement regarding the timetable for consideration of promotion recommendations.

To be eligible for consideration for promotion, a faculty member must keep on file an updated comprehensive *curriculum vitae* and supporting documents for review in the academic unit according to procedures established for that academic unit. If the faculty member wishes to do so, he/she may include - as supporting documents - student evaluations of teaching as evidence of readiness for promotion. The faculty member's vitae and supporting documents must be updated yearly and received by the Academic Unit Head by December 1. (Format for preparation of *curriculum vitae* is cited in Appendix B of Faculty Handbook.)

The Academic Unit Head will review all materials on file for each eligible faculty member and all those which result from required evaluations by UAM tenure-track peers within the academic unit. On the basis of that review and his/her own professional judgment of the faculty member's qualifications; the Academic Unit Head may forward a recommendation for promotion, accompanied by all documents relative to the candidacy, to the VCAA by December 15.

After the information has been received by the VCAA, the Academic Unit Head will inform all faculty members recommended for promotion. Any faculty member who is not recommended for promotion by his or her chairperson or other responsible individual may appeal in writing by December 18 to have his or her file considered at the next level of administrative review. In this case, the application will be forwarded for consideration with a negative recommendation from the chairperson or other responsible individual.

By the first day of the spring semester, the VCAA will forward each recommendation and each appeal to a Campus Promotion and Tenure Committee which will make a recommendation to the VCAA. Each committee will be made up of five faculty members (no Academic Unit Heads), each one holding rank above that presently held by the candidate for promotion. No member of the committee will be from the academic unit of the candidate. The candidate will select two members of the committee, the Academic Unit Head will select two, and the VCAA will appoint the chairman.

The committee will meet and deliberate, and by January 25, each member of the committee will forward an unsigned, typed recommendation to the VCAA.

The VCAA will then review all the materials in the promotion file of the candidate, and by February 1, will forward his/her recommendation to the Chancellor. At the same time that the VCAA forward his/her recommendation to the Chancellor, he/she will inform the candidate as to the nature of the recommendation. If the recommendation is negative, the candidate may appeal to the Chancellor providing he/she does so in writing by February 5.

The Chancellor will review all materials, recommendations, and supporting documents and forward a recommendation to the President by February 10. An unfavorable decision by the Chancellor may be appealed by the candidate to the President by requesting in writing within (5) days from the time he/she receives notification that the Chancellor is forwarding all materials and recommendations to the President. (See Appendix B for current "Schedule for Promotion and Tenure Recommendations.")

IV. **TENURE**

A. Criteria

The granting of tenure is a statement that an individual has successfully completed the probationary period and is accepted as a permanent member of the University community. Decisions on tenure will focus on the professional performance of the individual but will also take into account the staffing needs of the academic unit and the anticipated financial status of the University. To achieve tenure, a faculty member must complete at least a five- year probationary period. With the granting of tenure, an individual acquires additional procedural rights, should dismissal charges ever be filed. Only full-time faculty members holding the rank of Assistant Professor or higher may be awarded tenure and every such faculty member must be considered before or during the sixth year of service. The granting of a contract to a faculty member for a seventh consecutive year of tenure-track service automatically awards tenure unless it is a terminal appointment. An initial appointment of less than one year will be considered as a full year of service in determining the maximum number of years in probationary status, except that summer sessions will not be applied in this calculation. Time spent on an off-campus duty assignment or leave-of- absence also does not apply to the probationary period. Each year all faculty will be notified through a general announcement regarding the timetable for tenure consideration.

Up to two years of credit for prior professional experience may be granted at the time of appointment and, in exceptional cases, persons appointed at the rank of Associate Professor, Professor, or Distinguished Professor may be granted immediate tenure. In either case, the initial letter of appointment will indicate if any credit toward the probationary period has been granted.

B. Procedures

Procedures for evaluation of tenure shall be the same as that for promotion, except that all members of the Vice Chancellor's Promotion & Tenure Committee shall be tenured faculty members and hold equivalent or higher rank than the candidate.

V. **CONSIDERATION OF ACADEMIC UNIT HEADS**

Due to the role of Academic Unit Heads in the above procedures, it is not possible to apply these processes in exactly the same fashion to an Academic Unit Head seeking promotion/tenure. The following is an adaptation for

this purpose.

The timetable for notification and decisions will be the same as that of any faculty member with the VCAA also serving as the Academic Unit Head in this situation. The departmental committee will evaluate the Academic Unit Head according to departmental standards and criteria. The committee will report its findings to the VCAA who will also notify the candidate.

The VCAA will convene a University-wide committee which will be composed of five faculty members. The candidate will name three members including one Academic Unit Head and two faculty who are tenured professors. The VCAA will name two members, one Academic Unit Head and one faculty who is a tenured professor, one of whom will serve as chair. No member of the committee may be from the same academic unit as the candidate and all must be tenured professors. This committee will evaluate the candidate as both a faculty member and as an Academic Unit Head. The process will then proceed in the same manner as it does for Faculty Promotion and Tenure.

VI. DISMISSAL

In implementing Board Policy 405.1 regarding dismissal, the University of Arkansas at Monticello will proceed as follows:

If an informal inquiry is required in accordance with Board Policy 405.1, a subcommittee of faculty members shall be chosen from a panel made up of all tenured faculty members to serve as a three-member informal inquiry committee. The committee shall be constituted as follows: one member selected by the faculty member involved, one member by the faculty member's Academic Unit Head, and one member by the VCAA and VCAA. No one from the faculty member's academic unit and no Academic Unit Heads may be selected to serve on the three-person informal inquiry committee. The procedure will then continue as outlined in Board Policy 405.1, page 13, Item 1, Preliminary Proceedings.

If formal proceedings become necessary as determined by Board Policy 405.1, a five-member formal hearing committee shall be selected from a panel made up of all tenured faculty members. The committee shall be constituted as follows: Two members selected by the faculty member, one each by the faculty member's Academic Unit Head, the Chancellor, and VCAA. The procedure will then continue as outlined in Board Policy 405.1, page 15, Item 5, Committee Proceedings.

CHAPTER FOUR - MISCELLANEOUS POLICIES GOVERNING FACULTY SERVICE**I. APPOINTMENT PERIODS**

Faculty are usually appointed for a nine-month period, although faculty and administrative personnel may be appointed for up to a twelve-month period, depending upon the needs of the unit concerned or the nature of the assigned research or administrative work.

The appointment period for nine-month employees is the academic year which typically begins about August 15 and ends about May 15. The appointment period for twelve-month employees is from July 1 to June 30, inclusive, which corresponds to the University's fiscal year.

Social Security payments, group insurance premiums, Federal and State income tax withholdings and payments to retirement systems are deducted from the salary. Each employee is informed of the amounts withheld and for what purposes they are withheld.

Faculty may earn additional pay for additional work as outlined in University-wide Administrative Memoranda 440.2 - Extra Compensation Policy. See Appendix E.

Although summer appointments are not guaranteed, faculty members on nine-month appointments may be appointed to teach during the summer. The salary rate for a full-time teaching load (six hours or its equivalent) during one summer term is 15 percent of the individual's previous nine-month salary. Appointments for other than six hours will be on a prorated basis. Nine-month teaching personnel are not permitted to teach more than six hours in the summer except under unusual circumstances requiring special authorization.

Other types of summer assignments carry a monthly scale of one-tenth of the individual's previous normal nine-month salary, except that an employee assigned to a full-time research position for the summer may receive a monthly salary of one-ninth of the previous normal nine-month salary.

If a nine-month employee is assigned to a twelve-month position with the same title and duties, the twelve-month salary will be 1.25 times the nine-month salary. In the event an employee on a twelve-month appointment is assigned to a nine-month position with the same title and duties, the nine-month salary will be 80 percent of the twelve-month salary.

Notices of appointment are given to all appointed personnel and must be processed and approved by the President before the beginning of the appointment period. Notices of subsequent appointments for a following fiscal year are normally distributed to personnel in May. On occasion when the General Assembly is in session, notices may be later because of the uncertainty of appropriated funds.

II. TERMINATION OF EMPLOYMENT (BOARD POLICY 405.4)

The following provisions apply to all campuses of the University of Arkansas and its programs and activities.

1. Administrative Employees

The President of the University shall serve at the pleasure of the Board of Trustees, unless otherwise provided by contract. The vice presidents, members of the System staff, and the Chancellors or chief executive officers of each campus, division or unit shall serve at the pleasure of the President, unless otherwise provided by contract. Vice chancellors, associate vice chancellors, and assistant vice chancellors shall serve at the pleasure of their appropriate Chancellors or chief executive officer, unless otherwise provided by contract. Similarly, associate vice presidents, assistant vice presidents, and department heads shall serve at the pleasure of the Vice President for Agriculture, unless otherwise provided by contract. Persons in such positions are "at-will" employees and may have their employment terminated by the university for convenience at any time or may be dismissed immediately for cause.¹ Although a dismissal for cause may be effective immediately, an administrator may seek review of a for-cause dismissal in

¹ When a tenured faculty member is serving in an administrative position as contemplated by this section, only the tenured faculty member's administrative position is "at-will".

accordance with the policies of the campus, division or unit. If no review policy applies, the administrator shall have the opportunity to seek, within five (5) working days of dismissal, review of the matter to the chief executive of the campus, division, or unit, or a designee selected by the chief executive, who shall make a final decision on the for-cause termination.

2. Faculty Employees

(A) Faculty members who have been awarded tenure have a right to continuous employment except for a disciplinary suspension, dismissal for cause (according to the procedures in Section IV., C. of Board Policy No. 405.1) or for termination in the event of demonstrably bona fide financial exigency, reduction or elimination of programs, retirement, resignation or job abandonment.

(B) Faculty members in tenure-track positions² who have not been awarded tenure, may be terminated at the end of the appointment period by a written notice, given in advance, according to the following schedule of time:

For the first year of service, not later than March 1, if the appointment expires at the end of that academic year; or at least three months in advance of its termination if the appointment expires at some other time during the year.

For the second year of service, not later than December 15, if the appointment expires at the end of that academic year; or at least six months in advance of its termination if an appointment expires at some other time during the year.

After the second year of service, at least twelve months before the expiration of the terminal appointment. The terminal appointment will be for the academic or fiscal year, according to the appointment last held by the individual.

These termination notice periods are those specified under IV.B., "Non-Reappointment", in Board Policy 405.1. In addition to termination as outlined here, these employees may be dismissed for cause, or terminated in the event of demonstrably bona fide financial exigency, reduction or elimination of programs, retirement, resignation, or job abandonment pursuant to Board Policy 405.1.

(C) Clinical or other non-tenure track faculty who have received a multi-year term appointment under merit-based campus procedures approved by the President, may be terminated upon the expiration of their appointment or under campus procedures for such purpose, or they may be dismissed for cause by written notice of the chief academic officer of the campus, division, or unit, following verbal or written notice and opportunity to respond. Although the dismissal for cause may be effective immediately, the faculty member may, within five (5) working days of dismissal, appeal such termination directly to the Chancellor or chief executive officer of the campus, division or unit, with such decision to be final, or appeal in accordance with the grievance policies of the campus, division or unit. Further, such faculty may be terminated in the event of demonstrably bona fide financial exigency, reduction or elimination of programs, retirement, resignation or job abandonment. Terminations for bona fide financial exigency, reduction or elimination of programs, retirement, resignation or job abandonment are not appealable or grievable events.

(D) Other faculty members and other academic employees in positions for which tenure may not be awarded (part-time faculty in the ranks of assistant professor, associate professor, professor, University professor, and distinguished professor; clinical, research, teaching adjunct, or visiting faculty; research associates or research assistants; instructors, advanced instructors, senior instructor, master lecturers and lecturers; executive in residence; professor of practice and faculty in clinical attending positions at the University of Arkansas for Medical Sciences notwithstanding that such faculty may be designated as assistant professor, associate professor or professor) are considered "at will" employees and may be terminated for convenience at any time, or dismissed for cause by written notice by the chief academic officer or other senior designee of the campus, division or unit, following verbal or written notice and opportunity to respond. Although a dismissal

² See definition in Board Policy 405.1.

for cause may be effective immediately, employees under this section may seek review of a for-cause dismissal in accordance with the review policies of the campus, division or unit. If no review policy applies, these employees shall have the opportunity to seek, within five (5) working days of dismissal, review of the matter to the chief executive of the campus, division, or unit, or a designee selected by the chief executive, who shall make a final decision on the for-cause termination. For appointments through June 30, 2018, termination for convenience is effected by giving written notice at least sixty (60) days in advance of the date the employment is to cease. Thereafter, termination for convenience is effected by giving written notice at least thirty (30) days in advance of the date the employment is to cease.

3. Staff Employees-Appointed or Regular Positions

All classified and non-classified staff employees of the university, whether full-time or part-time, who are appointed or hold regular positions, are “at-will” employees and may have their employment terminated by the university for convenience at any time or may be dismissed immediately for cause. In the case of grant termination or loss of appropriated funds, termination may be immediate. Although a dismissal for cause may be effective immediately, a staff member may seek review of a for-cause dismissal in accordance with the review policies of the campus, division or unit. If no review policy applies, the staff member shall have the opportunity to seek, within five (5) working days of dismissal, review of the matter to the chief executive of the campus, division, or unit, or a designee selected by the chief executive, who shall make a final decision on the for-cause termination.

4. All Other Employees and Student Workers (excluding Graduate Assistants)

All other employees (for example, temporary and hourly employees who do not hold an appointed or regular position) and student workers (excluding Graduate Assistants, who are addressed in Board of Trustees Policy 500.1) may be terminated at any time without advance written notice. While advance written notice is not required, termination should be communicated to the employees and documented.

5. Procedure

Each campus, division or unit of the University may establish procedures, which are consistent with any applicable Board Policies, University of Arkansas Systemwide Policies and Procedures, and laws, for processing personnel actions and similar employment-related information for all employees, and for communicating this information to employees.

March 29, 2018 (Revised)
 September 18, 1998 (Revised)
 April 18, 1998 (Revised)
 September 16, 1994 (Revised)
 March 27, 1989 (Corrected)
 January 23, 1987 (Revised)
 July 19, 1983 (Corrected)
 April 15, 1983 (Revised)
 January 7, 1983

III. STANDARD WORKLOAD

The basic element of faculty workload is a work unit, which is equivalent to one class hour (50 minutes) per week for a semester or which is equivalent to three and one-third non-classroom laboratory hours of work per week for a semester. Included for each of these class hours is time for class preparation, grading, office hours, and other work with students outside class.

The minimum course load for full-time faculty at the assistant professor level or above is 12 semester credit hours. The minimum course load for faculty at the instructor level is 15 semester credit hours. For faculty teaching non-dual listed

graduate level courses, a 1.33 multiplier will be used to determine graduate faculty course load, i.e. a 3-hour graduate level course will be considered 4 hours ($3 \times 1.33 = 4.00$). For dual-listed courses, no multiplier will be used. The course load for faculty teaching both undergraduate and graduate level courses in the same semester will be determined on an individual basis. Faculty course loads are normally assigned based on course coverage need and faculty research/scholarship and service productivity. Multi-interdisciplinary teaching assignments or other University duties may be assigned as a portion of the 15-hour course load. Such assignments must be recommended by the unit head and approved by the Vice Chancellor for Academic Affairs. (See UAM Operating Procedure 420.1 Teaching Load for Faculty.)

Individual academic units can recommend for approval by the Vice Chancellor for Academic Affairs equivalent assignments for calculating workload. It should be understood that the typical workload will vary considerably.

Faculty may be assigned to daytime or nighttime teaching and on-campus or off-campus teaching.

Full-time faculty members are expected, as part of their University service, to advise students, serve on committees, and perform academically-related public service. Duties for full-time faculty also include individual research, scholarly or creative endeavors, and professional travel and development, as well as the usual instructional, research, service, and administrative duties for which work units can be assigned.

Professional staff with academic qualifications may be assigned teaching duties. In such cases, the individual will receive a split appointment of Instructor/Staff. The workload for these split appointments will be prorated.

Revised by Executive Council: February 3, 2009

IV. SUMMER TEACHING POLICY (UAM Operating Procedure 440.3)

Summer term course offerings are based on student-success initiatives, student demand for specific courses, and the prospect of sufficient enrollment. Each course offering should be, at minimum, revenue neutral. We have a responsibility to offer and staff classes that are needed for degree progress and completion. Therefore, we ask that unit averages are reviewed as opposed to individual classes per summer session. We encourage work with program faculty to analyze the necessary classes; that is, essential courses with offerings reflecting fiscal responsibility within the unit.

Faculty Compensation

Summer employment for any faculty member employed for fewer than twelve months is not guaranteed. Unit Heads will select summer course offerings based upon unit and student needs and appoint a qualified faculty member to teach each course. Faculty members must have received an overall performance rating of "Excellent," or "Good," on their most recent annual evaluation to be considered for summer employment. In situations where there are equally qualified faculty members to teach a course, faculty should be rotated.

1. The minimum class enrollment (10 undergraduate students/6 graduate students) must be met for a course to be taught at full pay. Pay will be 7.5% of the nine-month salary for each three-hour course or equivalent administrative assignment.
2. When enrollment is less than the required minimum, pay will be proportional to the enrollment. For example, an instructor of an undergraduate course with an enrollment of eight would receive 8/10 of 7.5% or 6.0% of his/her nine-month salary.

Note: The unit head may request special consideration from the Vice Chancellor to whom they report for exceptions to this policy only when the arrangement can be justified to advance campus student- success initiatives.

Examples:

- Summer Bridge Program courses
- Infrequently offered upper-level courses
- Executive Council approved special campus projects targeting student success.

Workload Spreadsheet

1. The Office of Finance and Administration will distribute an updated workload spreadsheet to academic unit heads and the academic affairs offices on the main campus and the Colleges of Technology no later than the end of the second week of April. Updated directions to the unit for the current summer's entries and any necessary policy specifications and standard procedural considerations for each unit will be included.
2. A draft of the summer compensation spreadsheet using actual enrollment numbers in each class is due to the Vice Chancellor to whom the unit reports no later than the week prior to the beginning of each summer session. Unit Heads must make required adjustments to schedules, as needed, no later than at the end of the first day of each session to ensure no revenue losses and send the final copy of each summer session worksheet to the appropriate Vice Chancellor for review.
3. A summary of total summer term actual enrollments and expenses should be submitted to the Vice Chancellor for Academic Affairs for the college credit courses or the Vice Chancellor for the College of Technology for technical courses by the mid-August end-of-summer payroll period.

I. EXTRA COMPENSATION AND OVERLOAD (UAM Operating Procedure 410.5)

A University employee is eligible for extra compensation for additional tasks over and above regularly assigned duties, provided he/she is carrying a normal load and the extra duties do not interfere with regular duties. State and federal requirements must also be observed.

II. OUTSIDE EMPLOYMENT OF FACULTY AND NON-CLASSIFIED STAFF MEMBERS FOR COMPENSATION (BOARD POLICY 450.1)

While emphasizing the fact that full-time faculty and non-classified staff members (including, but not limited to, senior administrators) of the University are obligated to devote their working time and efforts primarily to University activities, the University recognizes that a limited amount of outside work for private compensation may be advantageous to all concerned. Such persons are therefore encouraged to engage in outside employment which will affirmatively contribute to their professional advancement or correlate usefully with their University work. This employment shall not interfere in any substantial way with the employee's University duties nor conflict with his/her University assignments.

Written approval from department head and/or dean shall be obtained in advance of such outside employment. Each dean or similar officer shall keep records on outside employment by personnel in his/her college or administrative unit and shall prepare an annual report on such outside employment. The report should include actual time spent during the reporting period. Such records shall be reviewed periodically by the appropriate administrators and shall be submitted to the Chancellor, Vice President for Agriculture, or chief executive officer for the unit (or a designee who is a senior administrator) by September 30 of each year.

It is the employee's responsibility to make clear that, with respect to the outside employment, he/she is not acting as an agent or representative of the University. University facilities or property shall not be used except with permission of the department head or dean, taking into account the best interests of the University, and the payment of appropriate fees may be required. Prior approval is also required for concurrent employment with another university unit or state agency, pursuant to Arkansas Code Ann. § 19-4-1604 & Arkansas Code Ann. § 6-63-307.

VII. ANNUAL FACULTY EVALUATION

Full-time faculty members, administrators, and staff are evaluated annually. Faculty members are evaluated by their students, their peers, and their unit heads. The purpose of the evaluation is to improve teaching effectiveness and other aspects of job performance and to support decisions concerned with promotion, tenure, and merit pay. By December 1 of each year, faculty members are required to submit to their unit head all materials to be considered in their evaluation (results of the student evaluation may or may not be submitted). Soon after the evaluation is completed, faculty members are required to cooperate with their unit heads toward a written plan of professional development. The extent to which faculty members follow through on their plans of action for improvement will impact on making decisions for promotion,

tenure, and merit pay. (See Appendix C for Evaluation Procedure and Standard Forms.)

VIII. ACADEMIC EMPLOYEE GRIEVANCE PROCEDURE

It is a declared objective of the University that an individual academic employee may have prompt and informal resolution of his or her personal employment grievances and that this be accomplished under orderly procedures.

A. Definitions

1. An “academic employee” who may process a grievance under this procedure shall include any University employee holding the faculty rank of Instructor, Assistant Professor, Associate Professor, Professor, Distinguished Professor; any Graduate Assistant or Lecturer; and any University employee who performs duties, full or part-time, directly related to the instructional and/or research functions of the University.
2. A “grievance” means a dispute, concerning terms and conditions of the employment, arising from any administrative decisions which the academic employee claims is in violation of rights under, or a failure to apply, established University personnel regulations, policies, or practices, or which results from a misinterpretation or misapplication thereof. Not included are matters of non-reappointment, dismissal, or award of tenure decisions for which other policies and procedures exist. “Grievance” under this procedure shall include all alleged violations of the affirmative action plans of the University.
3. A “decision” means a determination that the grievance issue or issues were, or were not, in violation of rights under existing personnel regulations, policies or practices of the University. An analysis of the issues and the reasons for the determinations shall be included in the decision.

B. Application

Other procedures afford opportunities for review and revision of existing employment regulations, policies and practices against which the individual grievances are to be assessed; therefore, the within procedure confers no authority to include with a grievance, any amendment, deletion, addition to, or modification in or to existing University personnel regulations, policies, and practices as such.

C. Procedure

An academic employee having a complaint concerning terms and conditions of the employment as described in (b) above may present this matter to and discuss it with his or her immediate supervisor. Such presentation and discussion shall be entirely informal. The supervisor shall attempt to resolve the complaint. A complaint may, but need not, become a grievance.

D. Grievance Steps

• Step 1 -- Academic Unit:

Where his or her complaint is not satisfactorily resolved within five (5) working days following the date presented, an academic employee has the right to reduce the complaint to writing as a grievance and to forward it to the Vice Chancellor for Academic Affairs and the Human Relations Officer. The Human Relations Officer will handle all grievances charging discrimination through the affirmative action program and federal laws and regulations. The Vice Chancellor for Academic Affairs will investigate all other written grievances. The appropriate administrative officer will accept responsibility for conducting such investigation as may be needed and issue a decision within ten (10) working days following its receipt. Copies of the decision shall be furnished to the academic employee and the immediate supervisor.

• Step 2 -- Campus Administration:

The academic employee or the immediate supervisor may appeal the Step 1 decision to the Chancellor by forwarding his or her grievance in writing, together with a copy of the Step 1 decision, to such official within three (3) working days following its receipt. Upon receipt, the official shall, within five (5) working days ask the

Faculty Equity and Grievance Committee to investigate the matter and make recommendation for its solution. The Committee shall have access to witnesses and records, may take sworn testimony, and make a record by taping the hearing if it or the academic employee or immediate superior so desires. Its charge is to develop all pertinent factual information through informal inquiry in which fair procedures are used. Its written recommendations to the Chancellor shall be received within ten (10) days following receipt of the grievance. The decision of the Chancellor shall be made in writing, with copies to the academic employee, the Vice Chancellor for Academic Affairs, the Human Relations Officer, and the immediate supervisor, within five (5) days thereafter.

• **Step 3 -- President:**

If the grievance is not satisfactorily resolved through Step 2, the academic employee may submit the Step 2 decision, with all relevant materials, to the President of the University. The President shall promptly decide the matter and his/her decision shall be final pursuant to his delegated authority from the Board of Trustees. His/her decision shall be forwarded in writing to all interested parties.

IX. GARNISHMENT AND SALARY LIENS (UA Systemwide Policy and Procedures 440.9)

Any University employee is legally subject to having wages, and/or other amounts due from the University, seized by a court order of garnishment or by a governmental lien. The University is required to comply with an order of garnishment only where it is issued after a legal judgment has been entered against the employee-debtor. Governmental liens such as those arising from claims for unpaid taxes and from bankruptcy claims must also be honored.

When the University receives such court order or lien, it must pay over the appropriate amount to the clerk of the court or to the governmental agency. An employee's defenses should be made to the court or governmental agency.

Because a substantial amount of administrative time and expense is involved for the University in processing such court orders and liens and because employees are expected to manage their financial obligations in a manner that does not bring discredit to the University, the University has a concern whenever such an order is issued against an employee and served upon the University. Repeated incidents of default in payments or the like for a University employee resulting in an order of garnishment and/or salary lien may be cause for dismissal.

Each campus shall establish procedures for processing any garnishment or salary lien in a timely manner and in accordance with statutory requirements and court orders.

X. ANNUAL LEAVE FOR ACADEMIC AND OTHER NON-CLASSIFIED EMPLOYEES (Board Policy 420.1)

A. Annual (Vacation) Leave

I. Purpose

The purpose of this policy is to establish procedures for the accrual and use of annual leave, also called vacation leave, for academic and other non-classified employees at any campus, division or unit of the University of Arkansas System.

II. Annual Leave Accrual

- A. General Rule. Except as provided in Section II(B) of this policy, eligible employees whose titles are listed in the appropriation acts as 12-month non-classified positions will receive 22.5 days of annual leave from the on-set of employment, earned at a rate of 15 hours per month of service, with accrual at the end of each month. While administrative duties cannot be limited to a five-day, 40-hour week, for purposes of annual leave the normal work week shall be considered Monday through Friday.

- B. Exceptions to General Rule. Employees hired or transferred after June 30, 2021, into non-exempt, non-classified positions paying an hourly wage will accrue annual leave on the same basis and at the same rate as employees holding classified positions.³

Employees holding non-classified positions for which annual leave accrual is addressed in special appropriation language will accrue leave on the basis and at the rate provided in the special appropriation language.

Campuses, units and divisions may adopt, but only after review by the Office of General Counsel and approval by the President, campus annual leave accrual policies that differ from this policy for specialized categories of non-classified exempt employees. Any such policy must specifically identify any position categories affected and how they are affected. In no instance shall the accrual rate, eligibility, annual carryover, or payout of annual leave exceed that provided in this Policy.

III. Eligibility

- A. Except as provided in Section II(B) of this policy, annual leave is granted to all non-classified, non-student employees on 12-month appointments of one-half time or more, with part-time employees earning leave in proportion to the time worked. An employee whose period of employment is scheduled to be changed from a 12-month basis to a nine-month basis must take all accrued, unused vacation before the end of the 12-month period. An employment period shall not be extended for the purpose of paying an employee for unused vacation, and neither shall lump-sum terminal payment be made unless an employee terminates employment with the University.
- B. Employees who are employed pursuant to employment contracts or appointment letters that exclude annual leave as a benefit are not eligible for annual leave. However, any such contract or appointment letter excluding annual leave must be either approved by the President or executed pursuant to a Chancellor-approved campus policy that specifically identifies the position categories that do not accrue leave.

IV. Use of Annual Leave

Use of accrued annual leave may be requested by an employee at any time. The appropriate supervisor will grant the request when it will least interfere with the efficient operation of the department. Annual leave shall not be taken before it is accrued.

V. Annual Leave Carryover Limit

Annual leave is cumulative; however, no employee may have in excess of 30 days on December 31 of each year. During the calendar year accrued leave may exceed 30 days, but those days in excess of 30 will be lost if they are not used before December 31 of each year. An exception may be made when an end-of-year vacation is postponed for the convenience of the University. Any such exception must be approved by an appropriate University official.

VI. Other Limitations

Annual leave may not be accumulated while an employee is on leave without pay or on catastrophic leave. Upon termination, resignation, retirement, death, or other action by which a person ceases to be an active employee of the University, the amount due the employee or his or her estate from accrued annual leave or holiday leave, not to exceed 30 working days inclusive of holidays, shall be included in the final pay to the employee. No employee receiving such additional compensation shall return to University employment until the number of days for which he or she received additional compensation has expired.

VII. Annual Leave for Graduate Study

Annual leave for graduate study may be granted to otherwise eligible employees under the following terms:

³ See Board Policy 420.2

1. Accrued leave with pay may, if used for graduate study, be accumulated for two calendar years preceding the date of the leave if it is used by January 1 of the third year.
2. Permission to carry over such credit must be requested in writing by the employee and approved by the President in advance of the commencement of vacation accrual.

The President may approve a modified application of the regulation where circumstances warrant not to exceed the earned annual leave for two years.

May 27, 2021 (Revised)

May 21, 2020 (Revised)

January 31, 2019 (Sick Leave Section Replaced by BP 420.3)

June 9, 1995 (Revised)

July 24, 1991 (Corrected)

June 14, 1991 (Revised)

April 15, 1983 (Revised)

February 13, 1981 (Revised)

November 9, 1979 (Revised)

B. Holidays (UA Systemwide Policies and Procedures 435.1)

All state employees are granted twelve paid holidays. The schedule for this campus is issued each fiscal year as UASP 435.1. A current copy of these policies may be found in any of the following offices: President, Vice Presidents, Chancellor, Vice Chancellors, Dean or Director, Personnel, and Library.

C. Off-Campus Duty Assignment (UA Systemwide Policies and Procedures 435.4)

An Off-Campus Duty Assignment is an appointment, usually away from the campus, which allows eligible faculty and administrators to pursue an approved project while being relieved of teaching and administrative duties. The purpose is to enhance the individual's value to the institution.

Faculty members (including research faculty and extension personnel) and non-classified administrators who have completed six years of continuous full-time employment with the University or who have completed six years of continuous full-time service since a previous Off-Campus Duty Assignment may apply for an Off-Campus Duty Assignment. The application, prepared in accordance with campus regulations, must describe the project which the applicant wishes to undertake, where it is to be done, and the anticipated value to the individual and to the University. To be approved, a proposed assignment must be consonant with the needs, objectives, and mission of the campus.

An Off-Campus Duty Assignment is a privilege, not a right. A limited number may be approved by the President each year upon the recommendation of the chancellor or chief executive officer for each campus, division or unit. Assignments should not exceed one semester at full salary or two semesters at half-salary for employees on nine-month appointments, and should not exceed six months at full salary or twelve months at one-half salary for employees on twelve-month appointments. The University assumes no financial responsibility beyond the salary stated above.

Within sixty days after returning to the campus from an Off-Campus Duty Assignment, the faculty member or administrator must submit a written report of his or her other activities and accomplishments during the Off-Campus Duty Assignment to the chairperson of his/her department, the dean of the college, the chief academic officer, the Chancellor, and the President.

In accepting an Off-Campus Duty Assignment, the recipient agrees to return to the University for at least one year following the end of assignment. Failure to return to the University for a full year following the end of the assignment will require the recipient to repay to the University an amount equal to the salary and benefits received while on assignment.

D. Leave of Absence Without Pay (Board Policy 420.6)

Leave of absence without pay may be granted to faculty and staff for the following reasons:

1. Extended absences in the interest of the University.
2. Necessary absences due to illness or for personal reasons when such absences extend beyond available earned vacation or sick leave.

UAM will consider additional unpaid leave as a reasonable accommodation for qualified individuals with disabilities on a case by case basis. Leaves requested for reasons other than qualified disabilities must be approved by the President and will not be granted for a period in excess of one year. Leave of absence will be granted with the assurance of reinstatement to the same or comparable position unless circumstances make it clearly impractical. Vacation time and sick leave will not accrue during leaves of absence without pay; however, earned sick leave credit may be carried over.

When on leave of absence without pay for the purpose of study, research, or because of pregnancy or illness, an employee may continue to participate in certain staff benefits related to insurance, provided he/she has indicated an intent to return to the University on a permanent basis and has been participating in the plan up to the time the leave becomes effective.

The total cost of participation while on leave without pay must be borne by the employee.

All hours of accrued vacation time must be expended before an employee will be granted a request for leave without pay. In no instance is leave granted automatically but must be requested by the employee. Before a leave without pay is granted, the employee's service record and circumstances requiring the leave should be carefully examined.

E. Sick Leave (Board Policy 420.3)

All full-time appointed employees earn sick leave credit at the rate of eight hours per month with a maximum of 960 hours' accrual. Sick leave accrues only when an employee is in a paid status and does not accrue while an employee is on leave without pay. Paid sick leave is not granted as vacation and can be used only when: (1) the employee is unable to perform the employee's regular duties because of sickness or injury or (2) for treatment by or consultation with a licensed health care provider.

Sick leave may also be granted to employees due to the death or serious illness of a member of the employee's immediate family. Immediate family shall mean the employee's parent, sibling, spouse, child (including an adoptive child), grandparent, grandchild, in-law, or any individual acting as a parent or guardian of the employee. Serious illness for the purpose of this policy includes pregnancy-and maternity-related health conditions.

Sick leave applies only to a period when the employee is in an appointed status. For academic employees on less than a 12-month appointment, sick leave that begins during the Spring Semester shall not extend into the Summer Session and may resume in the Fall Semester if the employee is otherwise eligible for sick leave and has received a benefits eligible appointment for the Fall Semester.

Absence due to illness or disability, except in case of leave for pregnancy- or maternity-related health conditions, is charged first to sick leave, and next to any remaining available leave in the order dictated by payroll procedures.

Maternity-Related Health Conditions

Sick leave may be taken for pregnancy- and maternity- related health conditions and will be treated as any other leave for sickness or disability except that: (1) no health care provider certification will be required for the first four weeks following the birth of the child, and (2) the employee taking leave for a pregnancy- or maternity- related health condition may elect to take leave of absence without pay without exhausting accumulated annual and sick leave. Upon return from leave the employee will be given the same or comparable position to the one occupied prior to the leave. The employee is expected to provide the employee's supervisor as much notice as possible prior to beginning leave for a pregnancy- or maternity -related health condition, and at least two weeks' notice prior to returning to work from pregnancy- or maternity- related leave. Both notices must be in writing.

F. Family and Medical Leave (UA Systemwide Policies and Procedures 425.1)

The Family and Medical Leave Act of 1993 (FMLA) requires the University to provide qualified employees up to 12 weeks' unpaid leave per year for the birth or adoption of a child, to care for a spouse or an immediate family member with a serious health condition, or when unable to work because of a serious health condition. The University is required to maintain any pre-existing health coverage during the leave period and, once the leave period is concluded, to reinstate the employee to the same or an equivalent job. Contact the Personnel Office for the specifics of the University's policy.

G. Catastrophic Leave (Acts 91 and 169 of 1991)

The University of Arkansas at Monticello has established a catastrophic leave bank program. This is a pool of accrued sick and annual leave, donated by classified and non-classified staff employees, for use by employees during a catastrophic illness. Subject to policies developed by the Personnel Office, the specifics of the University of Arkansas at Monticello Catastrophic Leave Bank Program are:

1. **Catastrophic Illness:** A medical condition of an employee as certified by a physician which requires an employee's absence from duty for a prolonged period of time and which results in a substantial loss of income for the employee because of the exhaustion of all earned sick, annual, holiday, and compensatory leave time.
2. **Eligibility:** The employee must be a full-time (100% appointed) staff employee to participate in the Catastrophic Leave Bank Program. To receive benefits under the program, an employee must have at least two years of service with the state and been off work for at least 30 days. All accrued sick, vacation, holiday, and compensatory time must be exhausted and, as a result, the employee will suffer a substantial loss of income due to a medical condition. Injuries that are covered by Workers' Compensation are not covered by the program until such time as all benefits have been exhausted. Employees who have been disciplined for any leave abuse during the previous two years are ineligible to participate in the Catastrophic Leave Bank Program.

**UNIVERSITY OF ARKANSAS AT MONTICELLO
CATASTROPHIC FACULTY LEAVE BANK PROGRAM
Adopted March 27, 2006**

I. PURPOSE

This policy and the accompanying procedures establish a Catastrophic Faculty Leave Bank Program for the exclusive use of the appointed, regular, full-time, and benefits-eligible Faculty Employees of the University of Arkansas at Monticello (UAM).

II. POLICY

It shall be the policy of the University of Arkansas at Monticello (UAM) to permit eligible Faculty Employees to voluntarily donate eligible accrued sick (annual leave if applicable) to the Catastrophic Faculty Leave Bank Program from which aforementioned employees may request to receive Catastrophic Leave.

The Catastrophic Faculty Leave Bank Program shall assist eligible University Faculty Employees through medical emergencies, injuries, and illnesses upon the exhaustion of all earned sick, holiday, and annual leave (if authorized). The Program shall be administered by the Catastrophic Faculty Leave Committee of the University. The administration of the Catastrophic Faculty Leave Bank Program shall be in accordance with the guidelines established by the UAM Executive Council within the laws of the State of Arkansas.

III. DEFINITIONS

Catastrophic Faculty Leave Bank Program is a program approved, maintained, and administered by the University of Arkansas at Monticello.

Catastrophic Faculty Leave Bank is a pool of accrued sick (annual if applicable) leave voluntarily donated by Faculty Employees which may be approved by the University for use by other Faculty Employees.

Catastrophic Faculty Leave Committee is a committee which reviews Leave Donor requests, reviews applications from faculty employees for Catastrophic Leave and makes recommendations to the UAM Executive Council relating to such leave.

Catastrophic Illness is a medical condition certified by a physician of a benefits-eligible, full-time Faculty Employee that requires an employee's absence from duty for a Prolonged Period of Time and which, except for the Catastrophic Faculty Leave Program, would result in a substantial loss of income to the employee because of the exhaustion of all accrued leave time. Catastrophic Illness includes a medical condition of a Qualifying Family Member of the employee.

Catastrophic Leave is paid leave which is transferred to a leave recipient from the University's Catastrophic Faculty Leave Bank.

Executive Council consists of the Chancellor and Vice Chancellors of the University of Arkansas at Monticello.

Faculty Employee(s) is a person or persons who are regularly appointed in a benefits-eligible academic faculty position by the University of Arkansas at Monticello and who are compensated on a full-time basis. These positions include employees paid from positions including professors, associate professors, assistant professors, instructors, workforce ed. instructors, et. al. whose primary activity consists of instruction of students, conducting research, or public service. This excludes administrators and other professionals such as librarians who are eligible for the non-faculty catastrophic leave program.

Leave Donor is an eligible Faculty Employee whose voluntary written request to donate eligible accrued sick or annual leave to the UAM Catastrophic Faculty Leave Bank has been reviewed and accepted by the Catastrophic Faculty Leave Committee.

Leave Recipient is a current Faculty Employee whose request has been reviewed by the Catastrophic Faculty Leave Committee and approved by the UAM Executive Council to receive Catastrophic Leave from the University's Catastrophic Faculty Leave Bank.

Medical Condition is the Catastrophic Illness of a Faculty Employee or the illness of a Qualifying Family Member where the employee is unable to perform his/her job duties. Normal maternity leave is not catastrophic in nature and, therefore, is not a medical condition that qualifies for Catastrophic Illness.

Prolonged Period of Time is a minimum of thirty (30) working days in which a medical condition prevents the Faculty Member from performing his/her duties.

Qualifying Family Member is a spouse, son or daughter, or parent of the employee as defined in the State Office of Personnel Management Family and Medical Leave Act definitions.

IV. CATASTROPHIC FACULTY LEAVE COMMITTEE

The Catastrophic Leave Committee shall be comprised of five members. Committee members, including the Chairman, shall be appointed by the Chancellor with staggered terms and shall serve a length of time designated by the Chancellor. Committee members shall represent a cross-section of the faculty ranks of the University. A designated Personnel Office representative should serve as Secretary and be an ex officio (non-voting) member of the Committee. Recommendations shall be based on the majority vote of the Committee.

The Catastrophic Faculty Leave Committee shall:

- A. Determine if eligible Faculty Employees have met the requirements for Catastrophic Leave as listed in Section V, “Determine Eligibility of Catastrophic Faculty Leave Requests.”
- B. Review the Donor Application Form documents and determine if the leave is eligible to be received by the University from the Leave Donor.
- C. Review and make recommendations to the UAM Executive Council regarding written requests from University Faculty Employees to receive Catastrophic Leave from the UAM Catastrophic Faculty Leave Bank.
- D. Ensure the accuracy and complete documentation of Catastrophic Leave requests and/or donation forms and records which provide:
 - 1. The hours of leave donated by each Faculty Employee.
 - 2. The hours of Catastrophic Leave awarded to each recipient.
 - 3. A monthly report, which includes, at a minimum, the names of Faculty Employees, the number of donated/received days, and balance of days remaining in the Catastrophic Faculty Leave Bank.
 - 4. Monitoring of records to prevent a negative balance in the Catastrophic Faculty Leave Bank.
 - 5. The use of State Office of Personnel Management form for the Catastrophic Faculty Leave Bank Program.
 - 6. Any other data as required by the UAM Executive Council.
- E. Ensure the provisions of Section VI “Catastrophic Faculty Leave Program Provisions and Administration” are followed.

V. DETERMINE ELIGIBILITY OF CATASTROPHIC FACULTY LEAVE REQUESTS

The Catastrophic Faculty Leave Committee shall adhere to the following rules and guidelines when reviewing each Catastrophic Leave request:

- A. The Faculty Employee must be an eligible employee as determined by Section III, DEFINITIONS, (excluding any leave without pay due to his/her illness).
- B. The Faculty Employee must have been employed by the University of Arkansas at Monticello in a full-time regular benefits-eligible faculty position for two (2) continuous years.
- C. The Faculty Employee must not have been disciplined for any leave abuse during the last two (2) years of employment.
- D. No Faculty Employee shall be eligible for approved Catastrophic Leave in excess of six continuous months unless it can be demonstrated that the employee has been denied disability, retirement, or Social Security benefits. If the employee documents and receives Catastrophic Leave due to the denial of disability, retirement, or Social Security benefits, the Catastrophic Faculty Leave Committee will review any approvals at the end of each quarter (90 days) of the calendar year to make appropriate recommendations to the Executive Council.

- E. If the illness or injury is covered by workers' compensation, the compensation based on Catastrophic Leave when combined with the weekly workers' compensation benefit, shall not exceed the compensation received by the Faculty Employee at the onset of the illness or injury.
- F. No Faculty Employee shall be approved for Catastrophic Leave unless the employee has provided an acceptable medical certificate from a physician supporting the continued absence and sets forth that the employees are and will continue to be unable to perform their duties due to a Catastrophic Illness or from the condition of a Qualifying Family Member. Information relative to the Faculty Employee's assigned duties, such as a functional job description, may be made available to the physician.
- G. In no case shall Catastrophic Leave be granted beyond the date the physician certifies that the Faculty Employee is able to return to work.
- H. Catastrophic Leave which would result in a negative balance in the University's Catastrophic Faculty Leave Bank shall not be approved.
- I. No employee shall be approved for Catastrophic Leave unless the faculty employee is or is reasonably expected to be on leave-without-pay status. Catastrophic Leave shall not be awarded retroactively.
- J. Applications for Catastrophic Leave shall be reviewed on a first-filed, first-considered basis. If a zero balance exists in the Catastrophic Faculty Leave Bank, no leave will be granted.

VI. CATASTROPHIC FACULTY LEAVE PROGRAM PROVISIONS AND ADMINISTRATION

- A. Accrued leave may only be donated to the Catastrophic Faculty Leave Program in one- hour increments. Similarly, Catastrophic Leave may be granted only in one-hour increments.
- B. An eligible Faculty Employee can contribute a maximum of forty (40) hours per calendar year to the Catastrophic Leave Bank Program. This provision also applies to terminating and/or retiring employees.
- C. Accrued leave may only be donated to the Catastrophic Faculty Leave Bank from November 16 through December 31 of each calendar year. Retiring or terminating Faculty Employees can donate during their last thirty (30) days of employment with UAM. The University will designate an initial timeframe for Leave Donor hours near the beginning of the plan's implementation.
- D. A Faculty Employee shall not be allowed to donate leave to the University's Catastrophic Faculty Leave Program if such donation will reduce his/her combined accrued sick leave and annual leave balance to less than eighty (80) hours. Retiring or terminating employees are not required to maintain the (80)-hour leave balance but are limited to the maximum forty hours per calendar year.
- E. After annual and/or sick leave is donated to the Catastrophic Faculty Leave Bank, no employee shall have donated leave restored (returned) to his/her accrued annual or sick leave balance.
- F. Only eligible Faculty Employees of UAM may participate in the Catastrophic Faculty Leave Bank Program established by and approved by the University.
- G. Recommendations by the Catastrophic Faculty Leave Committee shall be presented to the UAM Executive Council which will make the final decision regarding requests for Catastrophic Leave.
- H. Employees on Catastrophic Leave will continue to accrue leave in accordance with existing leave policies and will receive normal University benefits such as contributions to insurance, retirement, etc.
- I. Faculty employees on Catastrophic Leave will continue to draw their normal rate of pay (excluding overloads, summer salary, etc.).

- J. Any leave earned while a faculty employee is on Catastrophic Faculty Leave shall, as a condition of voluntary participation in the program, be assigned to the Catastrophic Faculty Leave Bank, and any restrictions concerning the maintenance of minimum leave balances shall not apply to such assignment.
- K. If a Faculty Employee fails to report to work promptly at the expiration of the period of approved Catastrophic Leave, the Faculty Employee may be subject to disciplinary action, up to and including dismissal. In extenuating circumstances and with sufficient notification, along with the supervising Executive Council member's approval, the University may grant leave-without-pay status to an employee prior to or after the expiration of Catastrophic Leave.
- L. In the event a faculty employee on Catastrophic Leave is terminated, retires, or returns to work prior to the expiration of previously approved Catastrophic Leave, all unused Catastrophic Leave shall be returned to the Catastrophic Leave Bank. When it is found to be in the best interest of the University and with the supervising Executive Council members' approval, an employee may work part-time during the catastrophic leave period without relinquishing the balance of the previously approved Catastrophic Leave. In no case, however, can the Catastrophic Leave extend past the return-to-work date certified by the employee's physician.

Justification for this status, including the Executive Council members' approval must be immediately provided to the UAM Personnel Office by the Faculty Employee's immediate supervisor.
- M. Any changes in the UAM Catastrophic Faculty Leave Bank Program policies, procedures, or rules shall be approved by UAM Executive Council prior to implementation.
- N. The Catastrophic Faculty Leave Bank Program does not create any expectation or promise of term or continued employment.
- O. The decision of the UAM Executive Council shall be final and binding.
- P. This Program and its records are subject to audit by the University and the Division of Legislative Audit.
- Q. A Faculty Employee cannot donate or restrict his/her leave to a specific employee.

VII. PROHIBITION OF COERCION

No employee of the University of Arkansas at Monticello shall directly or indirectly intimidate, threaten, coerce, or attempt to intimidate, threaten, or coerce any other employee for the purpose of interfering with any such faculty employee with respect to donating, receiving, or using annual or sick leave. Any such instance shall be described and reported in writing to the UAM Executive Council. All written reports of such instances shall be investigated thoroughly, and appropriate disciplinary action shall be taken.

VIII. SUPPLYING FALSE INFORMATION AND/OR ABUSE OF CATASTROPHIC LEAVE

- A. Any employee who knowingly and/or purposefully provides false information to the Catastrophic Faculty Leave Committee in an attempt to gain approval of Catastrophic Leave time may receive disciplinary action up to and including dismissal.
- B. Any employee who knowingly abuses the use of approved Catastrophic Leave time for the purpose of monetary gain, recreational pleasures, or any such actions that are deemed contrary to the basic intent of the Catastrophic Leave Bank Program may receive disciplinary action up to and including dismissal.

H. Absence from Work

A position on the teaching or research staff of the University is considered to be a full-time undertaking, unless it is specifically designated as part-time. While it is recognized that a person's teaching or research functions cannot always be confined to an exact schedule of clock hours, each person is expected to perform adequately the duties assigned to him or her. Any departure from a work schedule normal for the tasks assigned should receive approval from the appropriate unit head and the Vice Chancellor for Academic Affairs in advance.

Whenever unforeseen circumstances make it necessary for a teacher or research worker to be absent from duties, he/she should notify the appropriate unit head and the Vice Chancellor for Academic Affairs immediately, making clear the reason for the absence.

State law requires the University Administration to keep on file a record of the number of days each faculty and staff member was unable, or failed, to keep his or her assigned schedule of work and the reasons therefore, whether for reasons of health, unexpected or emergency circumstances, or performance of off-campus tasks in the interest of University affairs. Faculty and staff members are called upon at appropriate intervals to report these absences, if any.

I. Attendance at Professional Meetings

Members of the teaching, research, administrative, and extension staffs are encouraged to attend professional meetings, as such attendance is deemed beneficial to both the individual and the University. Brief leaves from official duties will be granted for attendance at such meetings when circumstances permit, and the University will reimburse the individual for all or a part of the travel expenses when travel funds are available for such purposes and to the extent allowed by University travel regulations. Applications for leave and travel allowance for attendance at professional meetings must be approved in advance by the appropriate administrative personnel.

J. Military Leave (Board Policy 420.4)

The purpose of this policy is to establish procedures for the accrual and granting of military leave for service members who are employed at any campus, division or unit of the University of Arkansas System.

Twelve-month Employees

Twelve-month employees who are members of the National Guard or the Reserve Component of any of the branches of the Armed Forces of the United States, shall be granted a maximum of 15 days leave each calendar year for annual training requirements or other duties performed in an official duty status. Such leave shall be granted without loss of pay and in addition to regular leave time. Unused portions of military leave will be carried over into the succeeding calendar year with a maximum of 30 military leave days available in any one calendar year.

Nine-month Employees

Nine-month academic and administrative employees are encouraged to take any needed military leave during the three months they are not under appointment to the University.

Requests for Military Leave and Reemployment

Each employee who requests military leave shall furnish a copy of his/her orders to the employee's vice president or vice chancellor or other University official responsible for the employee's department or academic unit. An employee who is recalled to active duty in the Armed Forces of the United States or who volunteers for military service that would exceed the employee's accumulated leave shall be placed on extended military leave without pay. For an employee whose tour of military duty is more than 30 days but less than 181 days, the employee must submit an application for reemployment within 14 days of the effective date of his or her release from active duty. For an employee whose tour of duty exceeds 181 days, the employee must submit an application for reemployment within 90 days of the effective date of his or her release from active duty. Employees who comply with the terms of this policy and the Uniformed Servicemembers Employment and Reemployment Rights Act (USERRA) shall be reinstated to the position vacated or to an equivalent position at no loss of seniority or any of the other benefits and privileges associated with their employment. An employee who accumulates five years of military absence as defined by USERRA forfeits his/her reemployment rights.

Emergency Duty

Military personnel called to duty by the Governor or by the President of the United States in emergencies, as defined by A.C.A. § 21-4-212(c), shall be granted leave with pay not to exceed 30 working days after which leave without pay will be granted. This leave shall be granted in addition to regular time but not in addition to regular military leave. Additionally, employees whose tour of duty exceeds 30 days may be eligible for proportionate salary payments in accordance with A.C.A. § 21-5-1202.

K. Court and Jury Leave (Board Policy 420.5)

The purpose of this policy is to establish leave procedures for the purposes of jury duty or serving as a witness in a court proceeding for employees at any campus, division or unit of the University of Arkansas System.

Employees as Jurors

Any employee serving as a juror shall be entitled to full University compensation in addition to any fees paid by the court for such services. Such absences shall not be counted as annual leave. Where service on a jury would substantially interfere with the execution of the University work schedule, the chief administrative officer of the campus may, after consulting with the University's Office of General Counsel, petition the judge in writing to exempt an employee from such service. However, if an exemption is denied or if no response is received prior to the date jury duty is to begin, the individual must report for jury duty. An employee who is summoned to serve on jury duty shall not be subject to discharge from employment, loss of sick leave or vacation time, or any other form of penalty as a result of his or her absence from employment due to such jury duty, upon giving reasonable notice to his or her supervisor of the summons. Employees serving as jurors should return to work as soon as their services are no longer needed by the court.

Employees as Witnesses

When an employee is subpoenaed as a witness it will be determined through the employee's administrative chain, in consultation with the Office of the General Counsel, if the employees' testimony is within the scope of their employment. Due to the nature of their employment, law enforcement employees may be treated differently. Employees who are called as witnesses for cases in which their testimony is in the scope of their employment are entitled to their salary with no charge to leave for their absence. Depositions or statements which involve the University may be taken during duty hours. Employees who are called as witnesses on matters outside of the scope of their employment shall take annual leave.

Nine-month employees, if subpoenaed to testify on matters not related to the University or their scope of employment, will coordinate the scheduling of testimony with their administrative chain to ensure that the absence does not interfere with their University employment duties and is in keeping with applicable leave policies. Use of depositions is preferred for non-scope of employment testimony and should be handled during off-duty time or while the employee is in leave status. Any employee serving as a witness, juror, or party litigant shall be entitled to regular University compensation in addition to any fees paid by the Court for such services and such absences shall not be counted as annual leave.

Employees as Expert Witnesses

An employee who intends to serve as an expert witness in a legal matter must comply with University conflict of interest policies, which require disclosure and review of all possible conflicts of interest and commitments. This includes the requirement to comply with all applicable outside employment rules, including Board of Trustees Policy 450.1 Outside Employment, which requires prior approval of all outside employment by all fulltime faculty and non-classified staff members. Employees who are retained by a party or by a court as expert witnesses and paid a fee in excess of the normal witness fee set by statute or court rule shall take annual leave for the time required for such testimony. Employees who do not accrue leave should coordinate their absence with their administrative chain to ensure no disruption of their University employment duties.

L. Annual Leave for Graduate Study (Board Policy 420.1)

Annual leave for graduate study may be granted to otherwise eligible employees under the following terms:

1. Accrued leave with pay may, if used for graduate study, be accumulated for two calendar years preceding the date of the leave if it is used by January 1 of the third year.
2. Permission to carry over such credit must be requested in writing by the employee and approved by the President in advance of the commencement of vacation accrual.

The President may approve a modified application of the regulation where circumstances warrant not to exceed the earned annual leave for two years.

M. Children's Education Activity Leave (Act 1028 of 2007) (Board Policy 420.7)

The purpose of this leave is to allow an employee with a child or serving in the legal capacity as a parent an opportunity to participate in their child's educational activities by granting eight (8) hours of children's educational activity leave per calendar year. This applies to any full-time state employee who has a child enrolled in kindergarten through grade twelve (pre-K-12) involved in an "Educational Activity" which is any school-sponsored activity.

All full-time employees shall be entitled to eight (8) total hours of leave (regardless of the number of children) each calendar year for the purpose of engaging in and traveling to or from the educational activities of a child. An educational activity is a school-sponsored activity. For purposes of this policy, child generally means a person enrolled in an educational program for prekindergarten through grade twelve (pre K-12) who is of the following relation to the employee: natural child; adopted child; stepchild; foster child; grandchild; ward; or any other legal capacity in which the employee is acting as the parent for the child. Child also includes a person over the age of eighteen (18) who meets the foregoing criteria and has a developmental disability as defined by Arkansas law, or who has declared legally incompetent.

Unused leave may not be carried over to the next year and is not payable to the employee at the time of termination.

XI. FRINGE BENEFITS

The University provides numerous benefits for its employees: Social Security, Unemployment, Workers' Compensation, Basic Life Insurance (equal to 1 time the employee's annual salary, with the restriction of up to \$50,000), and Basic Long-Term Disability (with the restriction of up to a salary of \$20,000).

Optional benefits of major medical and dental insurance are offered with the cost being shared by both the University and the employee. Other optional insurance plans which are paid entirely by the employee are: optional life, optional long-term disability, and accidental death and dismemberment insurance.

All eligible employees are required to participate in a retirement plan such as TIAA- CREF, Fidelity Investments. The University of Arkansas System (UAS) is in year three of the five-year phase-in process which will result in a required employee retirement contribution of 5% by July 1, 2020. This affects employees who participate in the University of Arkansas Retirement Plans through TIAA and/or Fidelity and are eligible for the employer match. The employee required contribution will increase from 2% to 3% with the pay period beginning July 1, 2018. We will automatically reduce your VOLUNTARY contribution, (if applicable) by 1% and move that 1% to the REQUIRED contribution. Or if you are only contributing the mandatory amount of 2% today, then that will be increased to 3% effective 7/1/2018.

Please contact the Personnel Office for complete details on any of the above-mentioned benefits.

XII. POLICY ON PATENTS AND INVENTIONS

The use of inventions and discoveries made by faculty, staff, and students in research work as a part of their University duties shall be controlled by the University. A Universitywide committee is charged with the responsibility to determine the amount of University resources to be used in developing the idea, to determine whether the discovery should be patented, to receive and consider requests from employees and students desiring agreements with employees and students relative to assignment of patents to the University.

Employees agree when they receive a Notice of Appointment that, in the event they are assigned to a project funded by a research grant or contract, they will make full disclosure concerning inventions and discoveries to the University and grantor or sponsor of the project, will disclose any commitments or obligations to the grantor or sponsor, will hold in confidence any proprietary information obtained from the grantor or sponsor or information or data which reveal specific application of the results of the research through operations of the sponsor, and will not make available to others such information without prior written consent of the sponsor. (See Board Policy 210.1 for details.)

XIII. POLITICAL ACTIVITY (BOARD POLICY 465.1)

University employees, as citizens, have the right to engage in political activity. However, no employee may involve the institution's name, symbols, property, or supplies in political activities. If employees speak publicly on matters of public interest and are identified by their name and position with the University, they should make every effort to make it clear that the employee's comments or opinions are those of the employee and not the University.

Any employee who intends to seek public office or to assume a major role in a political campaign is obligated to discuss his/her plans with his/her supervisor. If the supervisor determines that the activity will impinge to any extent upon the full discharge of the employee's responsibilities to the University, including, but not limited to, any actual or perceived conflict of interest, the plans shall be reviewed through regular administrative channels to the Chancellor or chief executive officer for each campus, division or unit, after consultation with the General Counsel's Office, for a determination of workload and salary adjustment. Such determination shall be reported to and subject to review by the President.

Activities which require part- or full-time services, and for which more than token compensation is received, will require a reduction of workload and pay, leave-of-absence, or resignation, depending upon the extent of the activity.

In engaging in political activities, employees shall abide by applicable law. This shall include, without limitation:

- not devoting any time or labor during usual office hours toward the campaign of any candidate for office or for the nomination to any office including the gathering of signatures for a nominating petition;
- not circulating an initiative or referendum petition or soliciting signatures on any initiative or referendum petition in any public office or during the usual office hours of the University or while on duty for the University;
- not coercing, by threats or otherwise, any public employee into devoting time or labor towards the campaign of any candidate for office or for the nomination to any office;
- not using any office or room furnished at public expense to distribute any letters, circulars or other campaign materials unless such office or room is regularly used by members of the public for such purposes without regard to political affiliation;
- not to use for campaign purposes any item of personal property provided with public funds; "campaign materials" and "campaign purposes" refer to the campaign of a candidate for public office and efforts to support or oppose a ballot measure, except as provided in Ark Code Ann 7-1-111;
- not to assess any public employee for any political purpose whatever or to coerce, by threats or otherwise, any public employee into making a subscription or contribution for any political purpose;
- not to place any campaign banners, campaign signs, or other campaign literature on any cars, trucks, tractors or other vehicles belonging the University.

Any approved political activities of an employee must be taken on personal time by taking annual leave with approval of the employee's supervisor.

Nothing in this policy shall prohibit the Board from engaging in government speech, provided, that the expenditure of public funds to support or oppose a ballot measure is prohibited except as permitted by Ark Code Ann. 7-1-111(c).

XIV. RELATIONS WITH LEGISLATORS AND MEMBERS OF CONGRESS

The Board of Trustees and the University administration respect the right of each University employee as a citizen to exercise freedom of expression on legislative issues. At the same time, University employees should not, unless authorized, attempt to speak as agents of the University in discussions with members of the Arkansas General Assembly, Arkansas constitutional officers, and members of Congress.

The President of the University, the Vice President for University Relations, and the Chancellors of the University campuses are the University officials responsible for liaison with members of the Arkansas General Assembly, Arkansas constitutional officers, and members of Congress concerning legislation and programs affecting any unit of the University.

The Board of Trustees, through its Legislative Committee, together with the President, defines University policy matters. The Vice President for University Relations and the Chancellors are responsible for interpreting the policy and presenting data and other information to appropriate state officials and members of the Legislature.

University employees who wish the University to consider matters for incorporation into its legislative programs should bring them to the attention of the Chancellor.

XV. NEPOTISM (Board Policy 410.1)

The University recognizes that potential conflicts of interest may exist when members of the same immediate family are employed by the University, particularly in the same department, unit or division. To avoid conflicts of interest which may result from such employment, immediate family members should not participate in decisions to hire, retain, promote or determine the salary of the other. For purposes of this policy, an immediate family member shall mean husband, wife, mother, father, stepmother, stepfather, mother-in-law, father-in-law, brother, sister, stepbrother, stepsister, half-brother, half-sister, brother-in-law, sister-in-law, daughter, son, stepdaughter, stepson, daughter in-law, son-in-law, uncle, aunt, first cousin, nephew, or niece. This policy shall not affect graduate assistants, interns, farm laborers, or custodians.

XVI. RETIREMENT AGE (Board Policy 425.6)

There is no mandatory retirement age for University employees.

The University of Arkansas at Monticello Office of Academic Affairs extends an invitation to eligible faculty members to request consideration of voluntary retirement in September of each year. To qualify for the University's early retirement program, faculty must be age 55 or over and have 15 years of continuous tenured or tenure-track service at any University of Arkansas campus or at the system office. Eligible faculty must request consideration of early retirement with your unit head no later than November 1.

XVII. EMERITUS STATUS (Board Policy 475.1)

A. Eligibility for Emeritus Status

In recognition of distinguished service to the University of Arkansas, retiring employees may be awarded emeritus status at the rank or title held at the time of retirement. Where deemed appropriate by the board, emeritus status may be granted to a retiring employee at a rank or title previously held for a substantial period where such service concluded in good standing.

In order to be considered for emeritus status, an individual must be appropriately recommended, in good standing, and meet at least one of the following conditions:

1. The retiring individual is age 65 or older and has at least five years of continuous service with the University.

2. The retiring individual is age 62 or older and has at least 10 years of continuous service with the University.
3. The retiring individual has at least 20 years of continuous service with the University.
4. The retiring individual has elected to retire under a voluntary retirement incentive program established under Board Policies 425.6 or 425.7.

Chancellors and other chief executive officers may be awarded emeritus status in the title when they conclude their service as chancellor or CEO.

B. Procedures for Awarding Emeritus Status

In order for emeritus status to be conferred by the Board of Trustees, the individual must be recommended by the chief executive officer of the campus, division, or unit. The President will recommend the final list of individuals to receive emeritus status.

Emeritus status will normally be conferred once each year by the Board of Trustees effective on July 1 for those individuals who have retired prior to that date. The President will receive recommendations no later than February 15, or such other date as may be specified, from the chief executive officer of the campus or unit.

C. Privileges of Emeritus Status

Emeritus status entitles the recipient to the following privileges:

1. Presentation of a certificate or resolution appropriate for framing;
2. Use of the title;
3. Continued campus faculty membership status for those with faculty rank, but without vote in the campus faculty governance body;
4. Inclusion in the campus directory, catalog, and other listings of campus faculty/staff;
5. Use of the library;
6. Eligibility to purchase a faculty/staff parking permit;
7. Faculty/staff admission to campus activities and events;
8. Waiver of fees for enrollment in University courses on a space-available basis.

Each campus, division, or unit may establish more detailed policies and criteria concerning access to emeritus benefits.

D. Responsibility of Recipients of Emeritus Status

Emeritus employees are expected to assist and support the University in their areas of competence, particularly in an advisory capacity, when requested to do so.

XVIII. PROMOTION / TENURE CREDIT FOR ADVANCED DEGREE

To strengthen certain academic units, the University encourages faculty without a terminal degree to complete their degree program. Instructors with a master's degree who complete a terminal degree may, under certain circumstances, be awarded credit for up to two years of service. The conditions include, but are not limited to, the following:

1. The individual must have served as an instructor at the University for the credited time;
2. The unit head must propose the crediting of time and the proposal must be approved by the Vice Chancellor for Academic Affairs;
3. The individual must be eligible for appointment at least at the rank of assistant professor.

Instructors interested in pursuing this opportunity should discuss their individual circumstances with their academic unit head and the Vice Chancellor for Academic Affairs.

CHAPTER FIVE - UNIVERSITY POLICIES REGARDING FACULTY RIGHTS AND PRIVILEGES**I. REGULATIONS IN BUSINESS AFFAIRS****A. Purchases:**

Current purchasing regulations may be obtained from the Office of the Vice Chancellor for Finance and Administration.

B. Sale of University Property:

Current regulations may be obtained from the Office of the Vice Chancellor for Finance and Administration.

C. Sale of Books:

Under University policy, instructors are not permitted to sell books or other instructional materials to students. When students are required to purchase books or other instructional materials in any academic program, the teacher in charge should arrange for sale of the required articles through the University Bookstore.

D. Deadlines for Textbook and Course Material Adoption (Act 175):

Act 175 of the 2007 Arkansas General Assembly, requires state-supported institutions of higher education to have posted by noon on April 1 for the fall semester and November 1 for the spring semester “a list of all textbooks and course materials required or assigned for an undergraduate course by publication on its website and posting at its bookstore.”

E. Travel Regulations:

University travel regulations are based on State travel regulations. Current regulations may be obtained from the Office of the Vice Chancellor for Finance and Administration.

F. Use of University Vehicles:

University cars may be used for official University business, within the limit of car availability. To request a vehicle, call the UAM Motor Pool as soon as possible prior to the travel date to make arrangements. On the travel date the Motor Pool shall be provided with an academic unit account number for daily rate and mileage charges. A Motor Pool representative will assign a vehicle and assist in other matters.

G. Use of Private Cars:

The University will pay a mileage allowance on a private car used by the owner on officially approved trips of University business, within certain limitations. Current regulations pertaining to use of private cars may be obtained from the Office of the Vice Chancellor for Finance and Administration.

H. Communications:

University telephones are provided for University business. Personal long-distance calls cannot be charged to University telephones.

I. Keys:

Applications for keys must be approved by the employee's supervisor and the appropriate member of the UAM Executive Council. In some instances, a deposit may be required. When persons leave University employment, all University keys must be returned before final checks will be released.

NOTE: See UAM Operating Procedure 310.1 regarding use of University property. A copy of all operating procedures are maintained in the office of the head of each academic unit, the library, and the office of all members of the Executive Council.

J. Visitors:

All visitors to a class are required to have the permission of the instructor. Visitors to any classroom or University faculty must not be disruptive or present a safety hazard. Anyone planning to visit a class for more

than four sessions will be required to enroll in the class as an auditor.

II. USE OF UNIVERSITY'S NAME

The name of the University of Arkansas is used in a great many contexts and for a wide range of purposes. It is important to the institution that the use of the name “University of Arkansas at Fayetteville,” “University of Arkansas for Medical Sciences Campus,” “University of Arkansas at Little Rock,” “University of Arkansas at Monticello,” or “University of Arkansas at Pine Bluff” be limited to activities which are *in fact* activities of the University or one of the constituent campuses.

The following broad clarifications are applicable to most uses of the name of the University:

Public Appearances - Public appearances by individual faculty, staff, and students almost inevitably involve the name of the university. Beyond the normal care which such responsibility imposes there are certain specific policies which have been laid down. Students must, in order to be involved in extra-curricular activities, meet eligibility requirements of the campus on which they are enrolled. Appearances in intercollegiate athletics are subject to rules of the athletic conference to which the University belongs.

When University representatives appear on commercially sponsored radio and television programs, they should be identified as *guests*. Appearances on non-sponsored radio and television programs are considered simply as public appearances and impose only normal obligations on the participant for responsibility and good taste.

Sponsorship of Activities - When the name of the University is used in connection with seminars, institutes, conferences, workshops, short courses, and other such activities, the University shall *in fact* be a sponsor, cooperating through an extension or academic unit.

Public Statements - The chief administrative officer of each campus is responsible for official statements affecting his/her campus. News releases affecting the entire University should be coordinated in the Chancellor's Office through the Director of Media Services.

III. RESIDENCE STATUS OF FACULTY AND STAFF (UA Systemwide Policies and Procedures 245.3)

Board Policy 520.6 allows University employees whose appointment for pay purposes are for half-time or greater and their immediate families to be considered as residents for fee purposes. In furtherance of this policy, the following procedure is established for those individuals who qualify as half-time or greater employees.

University employees, whose appointments for pay purposes are for half-time or greater, must obtain a form from the office of the chief fiscal officer on the campus, certifying their appointment and present it to the Registrar, who will be instructed not to charge non-resident tuition.

Only those persons whose appointment forms are on file in the office of the chief fiscal officer on the campus shall be certified.

IV. EMPLOYEE MOVING EXPENSES (UAM Operating Procedure 404.5)

Arkansas Code 19-4-522(5) (e) allows the payment of employee moving expenses from State funds by institutions of higher education. Due to the passage of the Tax Cuts & Jobs Act, reimbursement of moving expenses are now classified as taxable income. For this reason, a flat amount in the form of a stipend will now be paid through the Payroll Office and included in the employee's taxable income. Employees who qualify for the stipend will receive the net amount after the appropriate taxes have been withheld. A stipend for moving expenses should not be offered to all prospective new faculty and non-classified employees, but may be offered if necessary to hire a prospective faculty or non-classified staff, who resides more than 200 miles from the UAM campus, and the following conditions are satisfied: (1) funds are available in the department or unit budget to address the remaining fiscal year's regular, on-

going expenditures, (2) the unit budget director recommends payment, and (3) the appropriate Executive Council member¹ approves payment. Unless the appropriate Executive Council member in coordination with the Chancellor has granted prior approval for a greater amount, payment for moving expenses shall be subject to the following schedule:

Faculty and non-classified staff	\$1,500
Deans and department heads	\$2,500
Executive Council Member	TBD by Chancellor not to exceed 10% of annual salary

The terms of agreement for the payment of moving expenses should be included in the letter of appointment along with a copy of this policy.

Moving expenses will be charged to the moving expense stipend budget of the unit from which the employee is paid. When an employee has a split-appointment, the moving expenses will be distributed in the same proportions as the employee's salary.

V. ON-THE-JOB INJURY

Current procedures are posted in each building for on-the-job injuries. Please contact the UAM Personnel Office for a copy of the procedures if they are not posted or available.

If it is a life-threatening emergency, call 911 and obtain medical care for the injured employee as soon as possible. The supervisor should call the toll-free number to report the claim as soon as emergency medical treatment is secured for the employee.

If it is not a life-threatening emergency, the employee (and the supervisor, if he or she is available), should call the toll-free number (855) 339-1893 to report the injury (This service is available 24 hours/day 7 days/week).

VI. DISTURBANCES AND DEMONSTRATIONS

University regulations prohibit activities which (1) interfere with campus order and access, the normal functioning of the University, or the rights of other members of the University community; (2) result in injury to individuals on campus, damage to individual or University property, or unauthorized attempted or actual entry into University buildings; and (3) present a clear and impending threat to the safety of individuals, to University property, or to the University community in general. (See also Act 328 of 1967 and Board Policy 220.1.)

VII. DEVELOPMENT AND FUND-RAISING ACTIVITIES

All plans by individuals or groups associated with or employed by the university to solicit prospective donors for private financial support must be submitted to and approved by the Chancellor.

VIII. ENROLLMENT IN UNIVERSITY COURSES

University employees are encouraged to enroll in academic courses. Limited enrollment during regular working hours for employees is permitted upon supervisory approval. Partial tuition remission is available to full-time employees, their spouses, and their dependent children (as defined by the Internal Revenue Service) at any unit of the University of Arkansas regardless of the site of employment. The "Request for Registration Fee Discount" forms may be obtained in the office of the Vice Chancellor for Finance and Administration.

See UAM Operating Procedure 425.1 for additional details.

IX. ON-CAMPUS PARKING

Regulations for parking and traffic control, with appropriate penalties for violations, have been developed by a campus

committee and approved by the Board of Trustees. Any employee or student who parks a vehicle on campus must have a valid parking permit. Permits and copies of regulations with a map indicating reserved and restricted zones may be obtained at the Office of University Police.

X. USE OF UNIVERSITY FACILITIES (Board Policy 705.1, UA Systemwide Policies and Procedures 715.1, UAM Operating Procedure 710.1)

University facilities exist for the primary purpose of serving a planned and scheduled program of educational activity. At times when not required in the regularly planned educational program, the University facilities may be made available for extra-curricular use to colleges, academic units, and other organizational units of the University; to organizations composed exclusively of faculty and staff; to organizations which exist solely for the benefit of the University; and to recognized student organizations with the approval of the faculty advisor.

University facilities under the law cannot be made available to organizations for their own purposes. However, when a facility is in use neither for a regularly scheduled educational activity nor for an extra-curricular use by one of the University organizations listed above, the President or Chancellor is authorized to approve the use of the facility when such use serves the educational objectives of the University provided that such use does not pertain to the soliciting of political party membership or supporting or opposing political candidates, the raising of money for projects not directly connected with a University activity, or for the conduct of private business.

A. Recreation Facilities

The University tennis courts, and recreation areas located on the campus and the facilities associated with the University Center (racquetball/volleyball courts, and gymnasium), are available to all faculty/staff members and their immediate families. Family members must be 16 years of age or older and have in their possession a current staff or faculty UAM identification card in order to use the University Center facilities. For more information, please contact the Office of Intramurals & Recreation at 870-460-1046.

Faculty and staff are also eligible to use the UAM Exercise Center located in the Randy S. Risher Wellness Center. The equipment consists of treadmills, cardiovascular exercise machines, isotonic weight machines, strength machines, recumbent bikes, upright bikes, incline trainers, elliptical machines, step mill, and water rower. UAM Faculty and staff and their dependents who are over the age of 16 may pay an annual fee of \$60.00 each to use the Exercise Center. For more information, please contact the Office of Student Health Services at 870-460-1051.

B. Reserving Facilities

For those desiring to reserve certain facilities on the Monticello campus, the Director of Special Events/Trotter House Manager will serve as the primary contact for most facilities. Facility Reservation Forms must be properly completed and presented to the Director of Special Events/Trotter House Manager at least 14 business days prior to event. The forms specifying the locations available for reservation are available at https://www.myschoolbuilding.com/myschoolbuilding/myschedulenew_wiz1.asp or on the UAM homepage for Facility Reservations at <http://www.uamont.edu/pages/student-affairs/university-reservations/>

C. Library Use

UAM faculty, research assistants, students, and staff will be loaned materials upon the presentation of a current validated UAM identification card. Library circulation policies are on the Library's webpage. The following selected policies will guide faculty in basic use of services:

CIRCULATING MATERIALS**TYPES OF MATERIALS****LOAN PERIOD**

- | | |
|---|-------------------------|
| 1. Circulating book collection
Curriculum materials collection
Federal/State documents collection | One year
No renewals |
| 2. Reserve materials | 24-hour, 5 days |

University policy states that ALL faculty loans are due in May of each year. Failure to turn in books at this time will result in a minimum \$105.00 charge for each book not returned.

INTERLIBRARY LOAN

Interlibrary loan (ILL) is a service through which students, faculty, and staff may borrow materials not owned by the UAM Library from other libraries. Requested material may be furnished without cost to the patron.

D. Graphic Design and Copy Center

The UAM Graphic Design and Copy Center functions as a laboratory that supports instructional development and instructional programs for all academic units, administrative offices, and student groups that have institutional budgets. The Graphic Design and Copy Center request forms should be submitted to request services and/or copies.

XI. OTHER UNIVERSITY SERVICES**A. Computer Services**

The University computer system is available for faculty use. Faculty may access a variety of services through their offices including, but not limited to, Internet, e-mail, library holdings, and connections to the administrative system for academic advising. For further information, contact the Office of Information Technology at 870-460-1036.

B. Credit Union

Members of the faculty and staff are eligible for membership in the Arkansas Superior Federal Credit Union. The credit union offers both savings and loan services. The Arkansas Superior Federal Credit Union has a branch location in Monticello and Warren. For further information, contact the Personnel Office.

C. Cafeteria Meal Ticket at Reduced Price

Faculty and staff may purchase a 20-meal ticket or a 10-meal ticket (at a reduced price) to use at any time during regular cafeteria serving hours. For further information, contact Aramark in the University Center.

D. Campus Mail

Contact the Warehouse for assistance with UAM campus mail.

E. Faculty and Staff with Disabilities:

UAM faculty and staff with disabilities may receive a number of services through the Office of Special Student Services. Faculty wishing to receive these services, whether for a permanent or temporary disability, must do the following:

1. Meet with the Director of Special Student Services to request specific accommodations.

2. Provide relevant, specific documentation from a medical professional regarding the existing limitations.

In the event of a temporary disability, the special accommodations may be arranged for a specific period of time.

CHAPTER SIX - FACULTY RESPONSIBILITIES

I. FACULTY CLASS ATTENDANCE

Faculty members are expected to regularly attend all classes and labs for which they are scheduled. It is expected that faculty members will be fully prepared for all their classes and will conduct them for the entire time allotted. Classes are not to be dismissed early. When faculty members are not able to meet a class due to illness or other defensible reasons, the unit head must be notified personally in advance so arrangements may be made for the class.

II. FACULTY GRADING STANDARDS, EXAMINATIONS, GRADE REPORTS & ATTENDANCE REPORT POLICIES

Faculty members are required to evaluate the quality of work done by each student and regularly advise each student of his/her progress and class standing. All courses will have several tests during the semester. A final examination is required in all classes. The method of grading used for a class is to be explained to the students at the beginning of the course and included in the course syllabus. Instructors are encouraged to provide ongoing and timely information regarding a student's status in the course. Care should be taken to protect the confidentiality of the student.

III. MID-TERM GRADE POLICY

Mid-semester grades are considered to be unofficial progress reports, in that, while these grades do indicate the current class standing of the student, they are not permanently recorded on the student's official academic record. Instructors should notify students of their mid-term grades. Midterm grades and absences will be posted on WeevilNet in all sessions longer than six weeks (fall and spring regular session and eight- and six-week sessions). Midterm grades and absences will be posted no later than one week before the drop date in regular fall and spring semesters, and no later than three days before the drop date in eight- and six-week sessions. All students with a "D" or "F" at mid-term are expected to meet with their instructor for consultation and will automatically be reported to Academic Alert.

The grade symbols and their meaning are as follows:

Grade		Meaning
A	4	Outstanding Achievement
B	3	Good Achievement
C	2	Average Achievement
D	1	Passing, but Unsatisfactory Performance
F	0	Failing
AU	0	Courses not Being Taken for Degree Credit
I	0	Required Work not Completed
W	0	Withdrew
CR	0	Credit (No Grade/Points)

IV. ATTENDANCE POLICY

Regular class attendance is considered an essential part of the student's educational experience and a requirement for adequate evaluation of academic progress. The faculty considers that college students, as mature individuals, will recognize the need for regular attendance and will comply with this requirement. UAM expects students to be diligent in the pursuit of their studies and regular in their class attendance. Students have the responsibility for making arrangements satisfactory to their instructors regarding all absences, whatever the reason, and are responsible for all materials covered during any absence. Such arrangements should be made prior to an absence whenever it is possible. Students absent from two consecutive or a total of three class meetings will be reported to Academic Alert, in addition to instructor consultation, unless the instructor agrees that the reason for the absences is justifiable, and plans have been made to make up all materials covered. (Disclaimer: Faculty members may submit an Academic Alert report on any student identified as a risk at any time.) Faculty members may establish additional attendance requirements, which will be stated in the course syllabus.

A. The “Incomplete” Course Completion Plan

The Incomplete should only be used when, due to circumstances beyond his/her control, the student is unable to complete and pass all outstanding requirements for a course.

If an “I” is deemed appropriate, the instructor of record *must* file a Course Completion Plan (located in the office of the academic unit head) with the unit head. The course completion plan must outline work completed with an evaluation *and* an outline of the work to be completed.

This plan must be signed by the instructor and student at the earliest date. Only when the course completion plan has been approved will the unit head sign grade sheets containing “I’s.”

NOTE: The Registrar will not accept an “I” if the unit head has not approved it.

B. “W” and “F”

Students who withdraw from a course after the 11th day of class shall receive the grade of “W” which will remain on the transcript and count as a course attempted but will not affect the grade point. If this change is initiated because of a written departmental request, students will not receive the grade of “W” unless the academic unit stipulates that a “W” is to be assigned. The two most common examples of changes being initiated because of a departmental request would be a student switching sections within the same course and students who are required to drop a course because they lack the prerequisites. Students who withdraw from a course after the 10th week of class will receive the grade of “F” instead of the grade of “W” if they are failing the course at the time of withdrawal.

V. FINAL EXAMINATIONS SCHEDULE

A final examination is required in all classes. This examination should be given during the scheduled period. Students who have three examinations scheduled on the same day may petition the Vice Chancellor for Academic Affairs for rescheduling.

VI. POLICY ON CHANGING GRADES

Grades submitted to the Registrar's Office should be accurate and final. If a grade has been incorrectly submitted or recorded, the instructor of record for the course must submit a “Change of Grade” form (located in the office of the academic unit head and online) must be approved by both the academic unit head and the Vice Chancellor for Academic Affairs.

VII. STUDENT APPEAL OF GRADE

The faculty should be aware that a student has the right to appeal a grade. Appropriate records on the work of a student in each class should be maintained by the instructor. The student has 120 days to initiate an appeal. The Academic Appeals Committee will hear appeals of grades if mediation by the instructor, academic unit head and the Vice Chancellor for

Academic Affairs have been documented. The Proof of Mediation form and the Academic Appeals form may be acquired in the Office of Academic Affairs or online under the Academic Affairs' webpage.

VIII. STUDENT RECORDS

In the event of a dispute between student and instructor, records of student achievement retained by the faculty become the property of the University. Instructors are required to maintain such records for a minimum of 120 days. Instructors are required to maintain grade books for three calendar years.

If a faculty member terminates employment with the University, all academic records are to be transferred to the unit head. Termination will not be cleared until such records are transferred.

The University adheres to the requirements of the "Family Educational Rights and Privacy Act of 1974" as amended (Buckley Amendment). Under this act, students have a right of access to personal records, may challenge the content of records, and have the assurance that their records will be kept confidential. There are exceptions to these regulations which must be carefully observed and documented. (See Administrative Memorandum 515.1 for details and forms to be used.) See Appendix E for additional information regarding student records.

IX. CLASSROOM BEHAVIOR/DISRUPTION POLICY

Students will not disturb normal classroom procedures and instruction. Disruptive conduct includes but is not limited to violent, noisy actions, profane or obscene language, intoxication, verbal abuse/slander, quarreling, fighting, threats to safety to oneself or others and failure to comply with the directions of a university official (reference UAM Student Handbook). A faculty member may, at his or her discretion, dismiss a disruptive student from the classroom for the balance of the class period and, at the faculty member's discretion, consider the missed class time as an unexcused absence. Faculty should, following a student dismissal from class, request that the student to meet with them in an effort to assure that the student's classroom conduct will be appropriately modified. The first dismissal from the classroom for disruptive or distracting behaviors serves as a warning. Faculty member should document the basis for the dismissal and the content/outcome of the meeting. Any threat of harm to others or actions that may threaten the safety of others can result in foregoing step 1 and immediately enforcing step 2.

It may be necessary for the faculty member to file a University Behavioral Intervention Plan (UBIT) notice after the first ejection.

Any time an instructor believes individuals in a class are in imminent danger, the class should be dismissed, and University Police immediately contacted at the EMERGENCY NUMBER 460-1000.

If a student is dismissed a second time, with appropriate documentation of the ejection, the faculty member will take the following actions:

1. Immediately notify the dean/chair/director of the unit of the incident.
2. Notify the student in writing that he or she is in violation of university behavioral standards listed in the student handbook. Upon receiving such notification, the student must meet the faculty member within two (2) class/academic days to attempt to resolve the issue. No action or penalty shall be imposed until the student has been informed in writing of the charge, given an opportunity to present his or her defense, and been informed of his or her right to appeal the case to the Dean of Students or Director of Student Services at the Colleges of Technology. During this process, as long as the student is not perceived as a threat to the safety of the instructor or

the other students, the student has the right to remain in class if he or she engages in no disruptive or distracting conduct.

If the student is perceived to be a threat to safety of the instructor or other students,] the instructor may impose an immediate interim suspension. In such cases, the instructor must immediately file a UBIT report and notify his/her supervisor. During the interim suspension, further investigation will take place, the findings of which will serve university officials as the basis for formulating appropriate action. An interim suspension is the only exception to a student's right to remain in class until action has been taken.

3. If the student and faculty member are unable to come to resolution, the student shall take the grievance to the department chairperson (or academic dean if the faculty member is the department chairperson) within two (2) class/academic days following the discussion with the faculty member. The department chairperson or academic dean shall attempt to resolve the grievance within two (2) class/academic days by meeting with the student and faculty member.
4. After the above procedures have been followed, the student may, upon notification to the faculty member and department chairperson/academic dean, file an appeal in writing within two (2) class/academic days to the Dean of Students or Director of Student Services at the Colleges of Technology. If the student does not wish to appeal the case, the faculty member shall immediately initiate the administrative class withdrawal process by notifying the Dean of Students or Director of Student Services at the Colleges of Technology. The Dean of Students or Director of Student Services at the Colleges of Technology shall notify the student within two (2) class/academic days of the pending action and schedule a conference with the student. Following the conference, the Dean of Students or Director of Student Services at the Colleges of Technology will administratively withdraw the student from the class in which he or she was enrolled and impose an appropriate student behavioral sanction. Exception: An instructor can request administrative withdrawal of a student from a class if sound evidence exists that his/her personal safety or the safety of the students in the classroom is in jeopardy. In addition, an UBIT report must also be processed.

X. FACULTY ATTENDANCE AT COMMENCEMENT

Faculty members who are employed one-half time or more are required to attend commencement. On those rare occasions when a faculty member needs to be absent from commencement due to some personal or professional responsibility, he/she should discuss the problem with his/her Unit Head to request permission to be absent from commencement. The Unit Head will notify the Vice Chancellor for Academic Affairs of the faculty request to be excused from commencement. Only the Chancellor or the Vice Chancellor for Academic Affairs may excuse a faculty member from commencement.

Faculty are required to wear appropriate academic regalia at all commencement functions. Appropriate academic regalia is defined as gown, hood and mortar board/tam appropriate for the faculty member's discipline. Faculty members may also rent regalia through the University Bookstore.

XI. FACULTY OFFICE HOURS

Faculty members are expected to maintain a reasonable number of office hours to facilitate student counseling and advising. Faculty members must host office hours of at least ten hours per week with time in the mornings and afternoons each day. Office hours should be flexible enough to provide reasonable access to students who may have class conflicts. Faculty with responsibilities for laboratories, clinical and intern supervision, and/or research duties, or internship duties should consult with the unit head to design a plan to meet the required time. "Faculty with joint appointments should consult with the unit head to determine office hours." Office hours must be approved by the unit head. A schedule of office hours must be posted on the faculty member's door, listed in the course syllabus, and a copy filed in the supervisor's office and in the

Office of Academic Affairs.

XII. COURSE SYLLABUS REQUIREMENTS

Each faculty member is required to prepare, regularly revise, and distribute to students and the unit head a course syllabus for each course he/she teaches. A copy of each syllabus must be approved by the unit head and filed with the Vice Chancellor for Academic Affairs by the last day to enroll. The syllabus should contain, as a minimum, the following information:

1. Course identification
2. Course prerequisites
3. Text(s) and supplemental books and materials
4. Professor's name
5. Office hours
6. Statement of special policies such as attendance, absenteeism, cheating, plagiarism
7. Special dates of concern to the course
8. Goals and objectives of the course
9. Content outline with schedule or sequencing plus required readings
10. Special projects, assignments, field trips, etc.

NOTE: If students *will not* be excused from activities such as non-university sanctioned field trips, it must be so stated.

11. Provisions for tests and evaluations
12. Thorough explanation of grading policy including final and mid-term grade postings
13. Statement indicating availability of services for students with disabilities
14. Statement on disruptive behavior: The following action is prohibited under the Student Conduct Code: Disorderly Conduct: Any behavior which disrupts the regular or normal functions of the University community, including behavior which breaches the peace or violates the rights of other.

See page 73 (section IX.) of the Faculty Handbook for information concerning student CLASSROOM BEHAVIOR/DISRUPTION POLICY.

A syllabus should fully disclose the faculty member's expectations and requirements of the students enrolled in the course.

XIII. ACADEMIC ADVISING

UAM is committed to the belief that students need personal guidance and counsel from faculty members on academic matters, such as sequencing courses in the major, meeting University requirements, etc.

The unit head assigns faculty members as advisors to students majoring in a field within their unit. Advisors are to meet with students as needed to assist students in meeting their academic goals. Faculty are provided information about each student, including semester grade reports. Each advisor should keep an up-to-date check sheet to facilitate course selection for each advisee. Students whose academic work is below a "C" are notified that their work is probationary in quality and are instructed to see their advisor. Faculty are urged to provide accurate information and to be knowledgeable of University requirements. Advisors should be aware of helpful student services that promote learning including computer labs, tutoring services, the Writing Center, and other such services. The advisor should refer students to those offices if services seem appropriate.

XIV. ADVISOR TO STUDENT ORGANIZATIONS

Faculty members may be asked to serve as an advisor to an officially recognized student organization. An advisor accepts responsibility for assuring that the organization stays within the limits of University policy. An Advisor's Handbook is available from the Assistant Vice Chancellor for Student Engagement.

XV. OTHER DUTIES

Faculty members are expected to serve on committees, serve as academic advisors, sponsor student organizations, conduct research, and be involved in their professional organization and activities. The amount of time devoted to these activities should be discussed with the unit head.

XVI. SERVICES FOR STUDENTS WITH DISABILITIES

UAM is committed to providing equal educational opportunities for all students. Students with disabilities who require special accommodations should discuss their needs with the Director of Special Student Services whose office is located in the Student Success Center room 201F.

XVII. STUDENT RECORDS AND THEIR DISCLOSURE

The University of Arkansas has established a system-wide policy in compliance with the "Family Educational Rights and Privacy Act of 1974" as amended, 20 U.S.C. Section 1232G, and the regulations of the Department of Education, codified in Part 99 of Title 34 of the Code of Federal Regulations and their disclosure to address student educational records. Personally identifiable information from a student's education records shall not be disclosed without prior written consent of the student. Questions concerning the release of educational records should be referred to the Registrar's Office. The system-wide policy is available in its entirety in the Library and is made available to the public. A summary of this policy may be found in Appendix E.

XVIII. STUDENT ABSENCES DUE TO PARTICIPATION IN UNIVERSITY SPONSORED EVENTS

At times, a student may participate in a University sponsored activity which causes the student to miss one or more class meetings. When this occurs, the sponsor of the activity will provide the student with a memo which includes the event, dates and times of the event, and the student's name. The student will individually contact each of his/her instructors to discuss the class(s) to be missed. This discussion should occur at least one week prior to the anticipated absence. The student is responsible for all material covered and any class activities during the absence. The sponsor of the activity will also provide all academic unit heads and the Office of Academic Affairs a description of the activity which includes the location, dates, and a list of campus participants. The sponsor of the activity will also acquire authorization from the appropriate Executive Council member a reasonable time in advance of travel by submitting a "Notification of Off-Campus Travel of Students" form as required by UAM Operating Procedure 535.1. Forms are available online under the Academic Affairs webpage.

XIX. POLICY FOR RESEARCH USING HUMAN SUBJECTS

The Institutional Review Board (IRB), appointed by the Vice Chancellor for Academic Affairs, recommends policies, and monitors their implementation, on the use of human beings as subjects for physical, mental, and social experimentation in and out of class. Policies recommended are in keeping with the guidelines established by the U.S. Department of Health and Human Services, other federal agencies, and the Belmont Report.

Protocols for the use of human subjects in research and in class experiments, whether funded internally or externally, must be approved by the Human Subjects Committee (HSC) or in accordance with IRB policies and procedures prior to the implementation of the human subject protocol. HSC approval may be for one year (maximum) or shorter intervals as determined by the IRB. Approval, denial or the withholding of approval pending modification to the protocol is at the sole discretion of the IRB. Violation of procedures and approved protocols can result in the loss of funding from the sponsoring agency or the University of Arkansas at Monticello and may be interpreted as scientific misconduct.

The Vice Chancellor for Academic Affairs shall appoint at least five tenured/tenure track faculty each year as members to the HSC so that the membership complies with 45 CFR 46, as the same shall be amended from time to time. In addition to the foregoing individuals, the HSC may, at its discretion, invite individuals with competence in special areas to assist in the review of issues which require expertise beyond or in addition to that available on the HSC. These individuals may not vote with the HSC. The members of the HSC will serve a one-academic-year term and may be re-appointed to serve a total of three terms. Faculty may be appointed again after a hiatus of three years. It is recommended that the committee members be chosen from academic units that typically use human subjects in their research. The Vice Chancellor for Academic Affairs will designate a chairperson with HSC experience from the HSC faculty members.

Approved by Academic Council: August 2005

XX. ANIMAL CARE AND USE POLICY

The following is the policy of the University of Arkansas at Monticello regarding animal care and use. It applies to all research and teaching using live vertebrate animals conducted at the University campus, or by University faculty, staff, or students when acting as representatives of the University at off-campus locations. This policy does not apply to research and teaching using human subjects. Current protocol forms can be found on the Academic Affairs website.

1. The University endorses and supports the responsible use of animals in research and teaching. This Policy on Animal Care and Use is designed to ensure that animal use at the University is conducted in a humane, productive, and responsible fashion. The University acknowledges and accepts responsibility for the care and use of animals in research and teaching and will make a reasonable effort to ensure that all individuals involved in the care and use of animals understand their individual and collective responsibilities for compliance with the University's Policy on Animal Care and Use as well as all other applicable laws and regulations pertaining to animal care and use.
2. The University endorses and will comply with the following:
 - A. All applicable provisions of the Animal Welfare Act, its amendments, and the regulations formulated to implement this act (hereafter referred to as the Animal Welfare Act regulations).
 - B. U. S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training.
 - C. The Public Health Service Policy on Humane Care and Use of Laboratory Animals (hereafter referred to as PHS Policy). The University will maintain an Animal Welfare Assurance, as specified by PHS Policy, with the Office for Protection from Research Risks of the National Institutes of Health.
 - D. All applicable provisions of other federal and state statutes and regulations relating to animals.
3. The University recognizes the classification of animal use in research and teaching into the following three categories for the purpose of specifying the standards for animal care and use within each category. These three categories and the corresponding standards are:
 - A. Biomedical research and teaching. This is research and teaching whose goal is to generate or communicate knowledge that will contribute to improving the health and well-being of humans and/or animals not involved in agricultural production.
 1. For biomedical research and teaching the University endorses the standards for animal care and use contained within two separate documents. These are 1) the Animal Welfare Act regulations, and 2) the Guide for the Care and Use of Laboratory Animals. It is the policy of the University that each of these documents will apply to those species specified in each document. Anyone conducting biomedical research and teaching with a vertebrate species not covered by these documents should work closely with the Institutional Animal Care and Use Committee and the Animal Welfare Veterinarian (see Items 5-7 below) to develop appropriate guidelines for the particular species being studied.
 - B. Agricultural research and teaching. This is research and teaching whose goal is to generate or communicate knowledge that will contribute to the improvement of commercial food or fiber production from animals.
 1. For agricultural research and teaching, the University endorses the standards for animal care and use contained within the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching, prepared by the NASULGC Consortium.
 - C. Field research and teaching. This is research and teaching whose goal is to generate or communicate knowledge that will contribute to our understanding of animals living in the wild. This category is limited to the study of animals that are living in the wild. If wild animals are captured and brought into the laboratory for study, all use conducted in the laboratory will be subject to the standards for

biomedical research and teaching outlined in Item 3.A.

1. For field research and teaching, the University endorses the standards for animal care and use contained within the following documents and any subsequent revisions.
 - A. For mammals:
Acceptable field methods in Mammalogy: Preliminary guidelines approved by the American Society of Mammalogists. (1987). Journal of Mammalogy, Supplement to Volume 68(4), 1-18.
 - B. For birds:
Report of the American Ornithologists' Union. Ad hoc committee on the use of wild birds in research. (1988). The Auk, Supplement to Volume 105(1), 1A-41A.
 - C. For amphibians and reptiles:
Guidelines for the use of live amphibians and reptiles in field research. (1987). Joint publication of the American Society of Ichthyologists and Herpetologists, The Herpetologists' League, and Society for the Study of Amphibians and Reptiles.
 - D. For fishes:
Guidelines for the use of fishes in field research. (1987). Joint publication of the American Society of Ichthyologists and Herpetologists, American Fisheries Society, and American Institute of Fisheries Research Biologists.

For the purpose of classification, research and teaching not clearly identifiable as agricultural or field research and teaching will be classified as biomedical research and teaching.

4. For standards of euthanasia in all categories of research and teaching, the University endorses the following document and any subsequent revisions: Report of the AVMA Panel on Euthanasia. (1993). Journal of American Veterinary Medical Association, 202(2): 229-249.
5. The University recognizes the Institutional Animal Care and Use Committee (IACUC) as its representative in overseeing, supporting, and regulating animal care and use. The IACUC is charged with monitoring adherence to the Animal Welfare Act regulations, PHS Policy, and the University's Policy on Animal Care and Use, and is empowered to develop the procedures and forms needed to carry out this task. All research or teaching using live vertebrate animals that is covered by the University's Policy on Animal Care and Use, regardless of its purpose or source of funding, must have prior written approval from the IACUC of an Animal Use Protocol submitted by the user for review by the committee. There is one exception to this policy, which is that specific Animal Use Protocols shall not be required for agricultural teaching applications involving the non-stressful observation of farm animals, demonstration of judging techniques, demonstration of accepted farm management practices, or normal use of farm animals in production. Instead, standard operating procedures detailing such practices and procedures shall be kept on file in the office of the Vice Chancellor for Academic Affairs and shall be incorporated into the Policies and Procedures of the Division of Agriculture.
6. The IACUC operates in full compliance with PHS Policy and the Animal Welfare Act regulations. It has the following duties, powers, and membership:
 - A. It recommends policies and procedures concerning the uses, care, housing, and disposal of vertebrate animals held or used for research, teaching, or other activities.
 - B. It reviews at least semi-annually the University's program for humane care and use of animals.
 - C. It inspects at least semi-annually all of the University's animal facilities, including satellite facilities, that are involved in biomedical or field research and teaching.
 - D. It reviews concerns involving the care and use of animals at the University.
 - E. It makes written recommendations to the Vice Chancellor for Academic Affairs regarding any aspect of the University's animal program, facilities, or personnel training with the report to include violations, deficiencies, and deviations from approved practices.
 - F. It notifies, through the appropriate institutional official (the Vice Chancellor for Academic Affairs),

- the Office for Protection from Research Risks of the Public Health Service and the Animal and Plant Health Inspection Service of the U. S. Department of Agriculture, as well as the funding agency, if deficiencies exist after ample time for correction.
- G. It reviews and approves, requires modifications in (to secure approval), or withholds approval of Animal Use Protocols.
 - H. It reviews and approves, requires modifications in (to secure approval), or withholds approval of proposed significant changes regarding the use of animals in ongoing activities.
 - I. It notifies investigators and the University in writing of its decision to approve or withhold approval of Animal Use Protocols, or of modifications required to secure IACUC approval.
 - J. It inspects, at its discretion, facilities at which an Animal Use Protocol is being conducted.
 - K. It is authorized to suspend an activity involving animals.
 - L. Members are appointed by the Vice Chancellor for Academic Affairs. Membership consists of at least the following:
 1. One representative and an alternate nominated by the unit head from each of the units regularly utilizing vertebrate animals for research or teaching.
 2. One representative from a department in an area other than the biological sciences (a non-animal user).
 3. One representative from the surrounding community who is not a member of the immediate family of anyone affiliated with the University.
 4. One graduate student representative and an alternate who is in one of the disciplines affected by the committee work.
 5. The Animal Welfare Veterinarian.
 6. Ex officio and non-voting, the Vice Chancellor for Academic Affairs or his/her designee.

The non-animal user faculty representative and the community representative will be appointed by the Vice Chancellor for Academic Affairs. At least one member of the committee must hold a Doctor of Veterinary Medicine degree. Not more than three members shall be from the same administrative unit at the program level of the University. The Vice Chancellor for Academic Affairs will designate a chairperson from the members.

7. The Animal Welfare Veterinarian shall be appointed by the Vice Chancellor for Academic Affairs. On matters relating to animal welfare the Animal Welfare Veterinarian shall report to the Vice Chancellor for Academic Affairs. The duties of the Animal Welfare Veterinarian, in addition to sitting on the IACUC, include the following:
 - A. Work with the IACUC to assure compliance of animal facilities with the requirements of the Animal Welfare Act, applicable state and local laws, PHS and NIH guidelines, and accreditation organizations.
 - B. Assure that education and research endeavors involving animals are conducted according to acceptable practices and as approved by the IACUC.
 - C. Work with the IACUC to develop institutional guidelines and provide programs concerning veterinary care for animals used in research or teaching. Preventive, diagnostic, and surgical services should be administered through the Animal Welfare Veterinarian.
 - D. Facilitate development of proposed animal research projects and provide counsel to principal or cooperative investigators during conception, performance, and completion of IACUC-approved protocols.
 - E. Train animal care technicians on an as-needed basis and through regularly scheduled seminars. Prepare and make available materials pertaining to policies and acceptable procedures. Advise personnel as needed. Provide continuing education opportunities to all interested personnel.
 - F. Help in developing comprehensive sanitation and general housekeeping programs for each animal housing unit and related facilities. Establish programs for aseptic techniques, surgical equipment care, and pharmacological usage and storage. Conduct periodic inspections of all facilities involved in biomedical or field research and teaching.

- G. Apprise appropriate institutional officials of problems that arise pertaining to Physical Plant problems or deviations from accepted practices or procedures. Confer with the Vice Chancellor for Academic Affairs on matters of animal care and use in research and teaching.
 - H. Provide information as needed for the safety and protection of personnel as it relates to occupational health hazards. Coordinate efforts with other appointed safety officers (biohazard, radioactive materials).
 - I. Assemble materials and prepare various reports and statements as requested or required by various regulatory or accreditation agencies.
 - J. Provide veterinary services to animals being used in a research or teaching project.
8. Anyone having a concern that the University's Policy on Animal Care and Use is being violated should report his/her concern to the chair of the IACUC. An inspection will then be made by the chair of the IACUC or other members of the IACUC appointed by the chair. If deficiencies in animal care and use are observed, the IACUC will take the necessary steps to ensure compliance with University policy. If serious misconduct regarding animal care and use occurs, administrative action may be used to rectify the situation.
9. An occupational health program will be provided by the University for personnel who work in laboratory animal facilities or have substantial laboratory animal contact. This program will be periodically reviewed by a qualified Occupational Health Professional and will include the following components:
- A. A medical history and physical examination will be completed for each laboratory animal worker prior to beginning work with animals. Periodic physical examinations will be carried out for workers in job categories that expose them to potentially hazardous circumstances.
 - B. An ongoing education program will ensure that all laboratory animal workers are aware of potential hazards such as zoonoses, possible injuries from or allergies to animals, and any safety hazards associated with the specific type of work being carried out.
 - C. An immunization program will ensure that all laboratory animal workers have been vaccinated for tetanus. In addition, voluntary vaccinations will be provided for individuals exposed to animals known or suspected to carry specific infectious diseases for which effective vaccines are available.
 - D. Zoonoses surveillance will be provided, including keeping records of individual work assignments, bite wounds, and unusual illnesses.

Documents Providing Standards for Animal Care and Use

The following documents (and any subsequent revisions) are those referred to in and endorsed by the University of Arkansas at Monticello's Policy on Animal Care and Use:

1. Regulations for the implementation of the Animal Welfare Act. Title 9, Code of Federal Regulations, Parts 1-3. (Referred to in this document as the Animal Welfare Act regulations).
2. U. S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training. (1985). Interagency Research Animal Committee. Federal Register, May 20, 1985. (These principles are listed in Appendix D of the Guide for the Care and Use of Laboratory Animals).
3. Public Health Service Policy on Humane Care and Use of Laboratory Animals. (1996). Office for Protection from Research Risks, National Institutes of Health. (Referred to in this document as PHS Policy).
4. Guide for the Care and Use of Laboratory Animals (7th edition). (1996). National Academy Press.
5. Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching. (1988). NASULGC Consortium. Association Headquarters, 309 W. Clark St., Champaign, IL 61820.
6. Acceptable field methods in Mammalogy: Preliminary guidelines approved by the American Society of Mammalogists. (1987). Journal of Mammalogy, Supplement to Volume 68(4), 1-18.
7. Report of the American Ornithologists' Union. Ad hoc committee on the use of wild birds in research. (1988). The Auk, Supplement to Volume 105(1), 1A-41A.
8. Guidelines for the use of live amphibians and reptiles in field research. (1987). Joint publication of the American Society of Ichthyologists and Herpetologists, The Herpetologists' League, and Society for the Study of Amphibians and Reptiles.
9. Guidelines for the use of fishes in field research. (1987). Joint publication of the American Society of Ichthyologists and Herpetologists, American Fisheries Society, and American Institute of Fisheries Research Biologists.
10. Report of the AVMA Panel on Euthanasia. (1993). Journal of American Veterinary Medical Association, 202(2): 229-249.
Approved by Academic Council September 6, 2006

CHAPTER SEVEN - COMPLIANCE WITH LOCAL, STATE AND FEDERAL REGULATIONS

I. FEDERAL LAWS AND REGULATIONS CONCERNING NON- DISCRIMINATION

A. Applicable Statutes

The following federal laws and executive order apply to the operation of all units of the University:

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin by educational programs receiving federal funds.

Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972, prohibits discrimination in employment (including hiring, upgrading, salaries, fringe benefits, training, and other conditions of employment) on the basis of race, color, religion, national origin, or sex.

Executive Order 11246, as amended by Executive Order 11375, prohibits discrimination in employment on the basis of race, color, religion, national origin, or sex by institutions with federal contracts of over \$10,000.

Equal Pay Act of 1963, as amended by Educational Amendments of 1972 (Higher Education Act), prohibits discrimination on the basis of sex against students or others in education programs or activities.

Title VII (Section 799A) and Title VIII (Section 845) of the Public Health Service Act, as amended by the Comprehensive Health Manpower Training Act of 1971, prohibits discrimination based on sex in admission of students to federally assisted health personnel training programs and in employment practice in these programs.

The Age Discrimination in Employment Act covers people aged 40-70 and forbids discrimination on the basis of age unless age is a *bona fide* occupational qualification. The University may not advertise so as to indicate a preference or limitation on age, discriminate in hiring on the basis of age, or deny career opportunities on the basis of age.

The Rehabilitation Act of 1973 (Section 503) prohibits discrimination in employment of qualified handicapped individuals. Section 504 of this same Act prohibits discrimination against handicapped students.

The Vietnam Era Veterans Readjustment Assistance Act of 1974 prohibits discrimination against qualified disabled veterans and veterans of the Vietnam era.

B. Statement of Policy

The University of Arkansas at Monticello is committed to the policy of providing educational opportunities to all qualified students and employment opportunities to all persons, regardless of their economic or social status, and will not discriminate on the basis of disability, race, color, sex, creed, or any legally protected class.

The Human Relations Officer has been designated to coordinate efforts to comply with all laws and regulations applicable to qualified disabled individuals, as required by Section 504 of the Rehabilitation Act of 1973.

Inquiries concerning the applications of all federal laws and regulations regarding discrimination should be directed to the Human Relations Officer at the University of Arkansas at Monticello.

C. Complaint Procedures

All complaints charging discrimination on account of race, sex, color, religion, national origin, or handicap shall be resolved exclusively under these procedures.

The employee will discuss the complaint with the employee's immediate supervisor. If after five days the

complaint is not satisfactorily resolved, the employee may file a written grievance by following the steps outlined in the academic Employee Grievance Procedures.

II. TITLE IX POLICY FOR COMPLAINTS OF SEXUAL ASSAULT AND OTHER FORMS OF SEXUAL HARASSMENT (UAM Operating Procedure 275.1)

I. Notice of Nondiscrimination Under Title IX

The University of Arkansas at Monticello (UAM) does not discriminate on the basis of sex in the education programs and activities that it operates and is prohibited from doing so by Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681 *et seq.*, and the U.S. Department of Education's implementing regulations, 34 CFR Part 106. The University's nondiscrimination policy extends to admission, employment, and other programs and activities. Inquiries regarding the application of Title IX and 34 C.F.R. Part 106 may be sent to the University's Title IX Coordinator, the U.S. Department of Education Assistant Secretary for Civil Rights, or both.

II. Jurisdiction and Scope

Sexual harassment as defined in this policy (including sexual assault) is a form of sex discrimination and is prohibited. Title IX requires the University to promptly and reasonably respond to sexual harassment in the University's education programs and activities, provided that the harassment was perpetrated against a person in the United States. At the time that a formal complaint is filed, the complainant must be participating in (or attempting to participate in) an education program or activity of the University. An education program or activity includes locations, events, or circumstances over which the University exercised substantial control over both the respondent and the context in which the sexual harassment occurs, and also includes any building owned or controlled by a student organization that is officially recognized by UAM.

This policy applies to allegations and complaints of sexual harassment as defined herein. All other complaints of discrimination or misconduct that do not fall within the jurisdiction of Title IX may be made through other campus procedures.

This policy shall not be construed or applied to restrict academic freedom at the University. Further, it shall not be construed to restrict any rights protected under the First Amendment, the Due Process Clause, or any other constitutional provisions. This policy also does not limit an employee's rights under Title VII of the Civil Rights Act.

III. Reporting

All complaints or reports about sex discrimination (including sexual harassment) should be submitted to the Title IX Coordinator:

Interim Title IX Coordinator

Dr. Moses Goldmon
Vice Chancellor for Student Engagement
University of Arkansas at Monticello
Student Success Center 103D
350 University Drive
Monticello, AR 71656
(870) 460-1153
goldmon@uamont.edu
[Title IX Reporting Form](#)

Title IX Investigator

Sydney Gavin-Herron, J.D.
Coordinator of Student Conduct
University of Arkansas at Monticello
Student Success Center 204G
350 University Drive
Monticello, AR 71656
(870) 460-1353
gavin-herron@uamont.edu

Deputy Title IX Coordinator (Crossett Campus)

Dawn Reed
Director of Student Services
1326 Hwy 52
Crossett, AR 71635

Deputy Title IX Coordinator (McGehee Campus)

Jason Henry
Director of Student Services
1609 East Ash
McGehee, AR 71654

(870) 460-2030
reedd@uamont.edu

870-460-2103
henryj@uamont.edu

In addition, the U.S. Department of Education, Office of Civil Rights, may be contacted by phone at 800-421-3481 or by email at ocr@ed.gov.

Any person may report sex discrimination, including sexual harassment (whether or not the person is the person alleged to be the victim of conduct that could constitute sex discrimination or sexual harassment), in person, by mail, by telephone, or by electronic mail, using the contact information listed above, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. Such a report may be made at any time (including during non-business hours) by using the telephone number or electronic mail address, or by mail to the office address, listed for the Title IX Coordinator.

IV. **Amnesty**

The University encourages reporting of incidents of prohibited conduct and seeks to remove any barriers to reporting. The University recognizes that an individual who has been drinking or using drugs at the time of an incident may be hesitant to make a report because of potential consequences for their own conduct. Individuals who report prohibited conduct or participate as witnesses will not be subject to disciplinary sanctions for personal consumption of alcohol and/or other substances.

The University may initiate an educational discussion with individuals about their alcohol and/or drug use or may direct these individuals to services such as counseling for alcohol and/or drug use. Amnesty will not be extended for any violations of University policy other than alcohol/drug use. The use of alcohol, drugs, and/or legally prescribed medication does not justify or excuse behavior that constitutes prohibited conduct under this policy.

V. **Filing Report with Local Law Enforcement**

In some instances, sexual harassment may constitute both a violation of this policy and criminal activity. The University grievance process is not a substitute for instituting legal action. The University encourages individuals to report alleged sexual misconduct promptly to campus officials AND to law enforcement authorities, where appropriate. Individuals may file a report directly with local law enforcement agencies by dialing 911. Individuals may also contact any of the following for assistance in filing a report with local law enforcement:

University Police Department
 112 Science Center Drive
 Monticello, AR 71656
 (870) 460-1083 or (870) 460-1000

Monticello Police Department
 101 North Church Street
 Monticello, AR 71655
 (870) 367-3411

Arkansas State Police
 1 State Police Plaza Drive
 Little Rock, AR 72209
 (501) 618-8000

Drew County Sheriff's Office
 201 South Main Street
 Monticello, AR 71655
 (870) 367-6211

Ashley County Sheriff's Office
 842 Ashley Road 12 West
 Hamburg, AR 71646
 (870) 853-2040

McGehee Policer Department
 517 East Ash Street
 McGehee, AR 71654
 (870) 222-3636

VI. **Preserving Evidence**

It is important that evidence of sexual assault be preserved, because it may be needed for prosecuting a criminal case. Victims and others should not alter the scene of an attack. The victim should not change clothes, bathe or shower, drink or eat anything, or brush his or her teeth before reporting the assault. Any items worn by the victim during the assault, but are not currently being worn, and any materials encountered during the assault (i.e., bed sheets, blankets,

etc.) should be placed in a paper bag and brought along with the victim to a local hospital emergency department that has kits to collect and preserve evidence of sexual assault.

VII. Employees' Duty to Report to Title IX Coordinator

In order to enable the University to respond effectively and to proactively stop instances of sexual harassment, employees must, within 24 hours of receiving information regarding a potential violation of this policy, report information to the Title IX Coordinator. Any employee who fails to promptly report a matter to the Title IX Coordinator may be subjected to disciplinary action for failing to do so. There are two categories of employees who are exempt from this requirement: (1) licensed health-care professionals and other employees who are statutorily prohibited from reporting such information and (2) persons designated by the campus as victim advocates.

VIII. Off-Campus Conduct

Conduct that occurs off campus that is the subject of a formal complaint or report will be evaluated to determine whether the matter falls within the University's jurisdiction under Title IX or should be referred to a different department or official within the University.

IX. Confidentiality

Except as compelled by law or as required to conduct a full and fair grievance proceeding in response to a formal complaint, the University will treat the information obtained or produced as part of the Title IX procedures as confidential. The University will keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a formal complaint of sexual harassment, any complainant, any individual who has been reported to be the perpetrator of sex discrimination, any respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. § 1232g, or FERPA regulations, 34 CFR Part 99, or as required by law, or to carry out the purposes of 34 CFR Part 106, including the conduct of any investigation, hearing, or judicial proceedings arising thereunder.

X. Availability of Counseling and Advocacy

Counseling and other mental health services for victims of sexual assault are available on campus and in the community. Students and employees may use and make referral to Counseling Services located in Gibson University Center, Suite 201 and Student Health Services located in the Randy S. Risher Wellness Center. Employees of the University may be able to seek help through the Employee Assistance Program. Community mental health agencies, counselors, and psychotherapists in private practice in the area can provide individual and group therapy. Committee Against Spouse Abuse (CASA) Women's Shelter or Domestic Violence and Rape Crisis Programs may assist with making referrals for individual counseling and support groups and in identifying non-counseling campus and community resources that may be of additional help and serve as a victim advocate upon request.

Counseling Services

Emily Stell, LPC

Gibson University Center, Suite 201

517 University Drive

Monticello, AR 71656

(870) 460-1554 or 1654

stelle@uamont.edu

XI. Education and Awareness Programs

The University's Title IX Coordinator is responsible for planning and coordinating campus education and awareness programs about all forms of sexual harassment. Programs are presented regularly throughout the academic year in residence halls, fraternities, sororities, and for other student organizations, academic classes, employee training and professional development, and in other settings that are likely to reach people throughout the campus community. Campus-wide education and awareness activities are also conducted during Sexual

Assault Prevention and Awareness Week.

XII. Grievance Procedure

These procedures apply to all grievances regarding conduct that may constitute sexual harassment as defined in this policy (including sexual assault) and that falls within the University's Title IX jurisdiction. All other grievances by students, employees, or third parties shall be addressed through other procedures. The University's Title IX grievance process includes formal and informal procedures that encourage prompt resolution of complaints. In most cases, the complainant's submission of a formal, written complaint to the Title IX Coordinator will initiate the formal grievance process. However, the Title IX Coordinator may also submit a formal complaint under the circumstances described below. The University will respond promptly to all formal complaints of sexual harassment.

A. Basic Requirements

The University's grievance process shall adhere to the following principles:

- All relevant evidence – including both inculpatory and exculpatory evidence – will be evaluated.
- Credibility determinations may not be based on a person's status as a complainant, respondent, or witness.
- The Title IX Coordinator, investigator, hearing officers or panel members, decision-makers on appeal, persons involved with the informal resolution, and any other persons that play a significant role in the Title IX grievance process shall not have a conflict of interest or bias for or against complainants or respondents generally or for or against an individual complainant or respondent.
- The respondent is presumed to not be responsible for the alleged conduct until a determination of responsibility is made at the conclusion of the grievance process.
- The time frames for concluding the grievance process shall be reasonably prompt, as set forth in more detail in the procedures below.
- The grievance process may be temporarily delayed, and limited extensions of time frames may be granted, for good cause. In such instances, written notice to the complainant and the respondent of the delay or extension and the reasons for the action will be provided. Good cause may include considerations such as the absence of a party, a party's advisor, or a witness; concurring law enforcement activity; or the need for language assistance or accommodations of disabilities.
- Questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege will not be required, allowed, relied upon, or otherwise used. The University shall not consider, disclose, or otherwise use a party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in the capacity, and which are made and maintained in connection with the provision of treatment to the party, unless the University obtains that person's voluntary, written consent to do so for a grievance under this section.
- No party shall be restricted from discussing the allegations under investigation or to gather and present relevant evidence.
- A party whose participation in a hearing, investigative interview, or other meeting shall be provided with a written notice of the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings, with sufficient time for the party to prepare to participate.

B. Initial Report/Intake Process

Initial Meeting with Complainant: Promptly upon receiving a report of conduct that could potentially be a violation of Title IX, the Title IX Coordinator (or designee) will contact the complainant to schedule an initial meeting to, as applicable:

- Provide a copy of this policy
- Explain the process for filing a formal complaint and provide a copy of the Sexual Harassment Complaint Form on which the complainant may, if he or she agrees to disclose the information, provide details regarding the allegation, including the name of the accused individual and the date, location, and general nature of the alleged violation of policy
- Explain avenues for resolution, including informal and formal

- Explain the steps involved in an investigation and hearing under this policy
- Discuss confidentiality standards and concerns
- Refer to law enforcement, counseling, medical, academic or other resources, as appropriate
- Discuss, as appropriate, possible supportive measures, which are available with or without the filing of a formal complaint

If the complainant requests that no further action be taken and/or that no formal complaint be pursued, the Title IX Coordinator (and/or his or her designee) will inform the complainant that retaliation is prohibited and that honoring the complainant's request may limit the University's ability to fully respond to the incident. In the event the complainant stands firm on his or her request that no further action be taken, the Title IX Coordinator will evaluate whether to file a complaint under the criteria set forth below.

C. Formal Complaint Process

Form and Filing of Complaint: The filing of a formal, written complaint initiates the formal grievance process and is available to any person who is participating in (or attempting to participate in) a University educational program or activity. The Title IX Coordinator (or an investigator designated by the Title IX Coordinator) will investigate the allegations in the formal complaint. Formal complaints can be filed in several ways. The complainant may utilize the form provided or may submit the complainant's own document that contains the complainant's signature (either physical or digital) and is filed with the University's Title IX Office by U.S. mail, in person, through the Title IX portal provided for this purpose, or by email. The formal complaint should set forth the allegations and request that the Title IX Office investigate the matter.

Filing by Title IX Coordinator: The Title IX Coordinator may initiate the grievance process, even where the complainant declines to file a formal complaint, if the Coordinator determines that the particular circumstances require the University to formally respond to and address the allegations. Circumstances to be considered include, among others, a pattern of alleged misconduct by a respondent and whether the complaint has alleged use of violence, weapons, or other similar conduct. The Title IX Coordinator will also consider the complainant's wishes with respect to supportive measures and desired response by the University. Where a report is made anonymously and the Title IX Coordinator files the complaint, both the complainant and respondent will receive notice of the allegations with written details and identities of the parties if known.

Consolidation of Formal Complaints: The Title IX Coordinator may consolidate formal complaints as to allegations of sexual harassment against more than one respondent, or by more than one complainant against one or more respondents, or by one party against the other party, where the allegations of sexual harassment arise out of the same facts or circumstances.

Dismissal of Complaint Prior to Resolution: A formal complaint must be dismissed by the Title IX Coordinator if the alleged conduct (1) does not constitute sexual harassment, as defined in this policy, even if proved; (2) did not occur in the University's education program or activity; or (3) did not occur against a person in the United States. In addition, a complaint may be dismissed if, at any time during the investigation or hearing, a complainant notifies the Title IX Coordinator in writing that the complainant would like to withdraw the formal complaint or any allegations therein; the respondent is no longer enrolled or employed by the recipient; or specific circumstances prevent the gathering of evidence sufficient to reach a determination as to the formal complaint or any allegations therein.

Upon dismissal of a formal complaint, for any reason, the Title IX Coordinator will send simultaneous, written notice of and reason(s) for the dismissal to the parties. The dismissal decision may be appealed pursuant to the procedure for appeals set forth in this policy. Dismissal of a complaint under this Title IX policy does not preclude a complainant from pursuing a grievance through other appropriate campus procedures.

Notice of Formal Complaint: Upon receipt of the formal complaint, the Title IX Coordinator will send simultaneous notifications of the filing of the complaint to the complainant and the respondent (if known). If, in the course of an investigation, the Title IX Coordinator decides to investigate allegations about the complainant or respondent that are not included in the initial notice, the Title IX Coordinator will provide notice of the additional allegations to the parties whose identities are known. The initial notice will contain the following:

- The allegations of the complaint that potentially constitute sexual harassment, including sufficient details known at the time and with sufficient time to prepare a response before any initial interview (including the

identities of the parties involved in the incident, if known, the conduct allegedly constituting sexual harassment under this policy, and the date and location of the alleged incident, if known)

- A copy of the Title IX policy
- A statement that the respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the grievance process
- A statement informing the parties that they have a right to have one advisor of their choice to assist them throughout the proceedings who may be (but is not required to be) an attorney
- A statement that the parties have the right to inspect and review all evidence collected during the complaint process
- A statement that any party who knowingly makes false statements or submits false information during the grievance process will be subject to disciplinary procedures

Initial Meeting with Respondent: If a formal complaint is filed, the Title IX Coordinator will promptly schedule an initial meeting with the respondent after the written notice of the formal complaint is sent as described above. Prior to the initial meeting, the Title IX Coordinator shall provide a written notice of the date, time, location, participants, and purpose of the meeting, with sufficient time for the party to prepare to participate. During the initial meeting with the respondent, the Title IX Coordinator (or designee) will, as applicable:

- Provide a copy of this policy (if not previously provided)
- Explain avenues for resolution, including informal and formal
- Explain the steps involved in an investigation and hearing under this policy
- Discuss confidentiality standards and concerns
- Discuss non-retaliation requirements
- Inform of any supportive measures already determined and being provided to the complainant that would directly affect the respondent
- Refer to law enforcement, counseling, medical, academic or other resources, as appropriate
- Discuss, as appropriate, possible supportive measures that can be provided to the respondent

Right to Advisor: Both parties will be advised that they may be accompanied by one advisor/support person to assist them throughout the Title IX process, which can be (but is not required to be) an attorney. The advisor is not allowed to speak or otherwise actively participate during the pre-hearing interviews or meetings. It is the party's responsibility to obtain the services of an advisor, except that the University will make an advisor available to the parties during the hearing to determine responsibility upon request. A party who wants the University to provide an advisor for the determination hearing should make a request within 15 days after the party's filing or receipt of the formal complaint. The advisor's role at the hearing is further explained below.

Emergency Removal: If, after the University Behavioral Intervention Team (UBIT) undertakes a safety and risk analysis, the University determines that the respondent poses an immediate threat to the physical health or safety of any student or other individual arising from the allegations of sexual harassment, it may remove the respondent from the University's programs or activities. In such instances, the respondent will be provided with a written notice of the reasons for the removal. Within 5 days of receiving the notice, the respondent may challenge the decision by requesting a meeting with the Vice Chancellor for Student Engagement.

Administrative Leave: Nothing in this policy precludes the University from placing a non-student employee respondent on administrative leave during the pendency of the grievance process.

Supportive Measures: Supportive measures, as defined in this policy, will be based on the facts and circumstances of each situation. The Title IX Coordinator is responsible for coordinating the effective implementation of supportive measures. They may include, but are not limited to, the following:

- Counseling
- Extensions of deadlines or other course-related adjustments
- Modifications of work or class schedules
- Campus escort services
- Mutual restrictions on contact between the parties
- Changes in working or housing locations

- Leaves of absence
- Increased security and monitoring of certain areas of the campus

The University will maintain as confidential any supportive measures provided to the complainant or respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the supportive measures.

Informal Resolution: At any time after a formal written complaint is filed but prior to reaching a determination regarding responsibility, the University may facilitate a resolution without a full investigation and adjudication. The complainant and respondent must give their voluntary, written consent to the informal resolution process. The informal resolution process will not be utilized to resolve allegations that an employee sexually harassed a student.

- Prior to commencing the informal resolution process, the Title IX Coordinator or designee must provide the parties a written notice that includes the following information:
- Notice of the allegations contained in the formal complaint, including dates, location(s), and identities of the parties,
- Notification that any agreed upon resolution reached at the conclusion of the informal complaint process will preclude the parties from resuming a formal complaint arising from the same allegations,
- Notification that at any time prior to agreeing to a resolution, any party has the right to withdraw from the informal resolution process and resume the grievance process with respect to the formal complaint,
- Any consequences resulting from the informal resolution process, including how records will be maintained, used, or shared.

D. Comprehensive Investigation

If resolution of the allegations does not proceed through the informal process, the matter will proceed with a comprehensive investigation and resolution through the formal complaint processes. The Title IX Coordinator will be responsible for overseeing the prompt, equitable, and impartial investigation during the formal complaint process. The burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility shall rest on the University and not the parties.

Assignment of Investigator: If the Title IX Coordinator's designee is to conduct the investigation, the Title IX Coordinator will forward the complaint to the investigator and share the investigator's name and contact information with the complainant and the respondent.

Conflicts of Interest and Bias: Immediately after the identity of the person who will conduct the investigation is determined and communicated to the parties, the investigator, the complainant, or the respondent may identify to the Title IX Coordinator in writing any real or perceived conflicts of interest or bias that the person charged with conducting the investigation (including the Title IX coordinator, where applicable) may have. The Title IX Coordinator will carefully consider such statements and will assign a different individual as investigator if it is determined that a material conflict of interest or bias exists.

Overview of Investigation: Upon receipt of the formal complaint, the Title IX Coordinator/Investigator (hereinafter "Investigator") will promptly begin the investigation, which shall include but is not limited to the following:

- Conducting interviews with the complainant, the respondent, and any witnesses (including expert witnesses, where applicable) and summarizing such interviews in written form
- Visiting, inspecting, and taking photographs at relevant sites
- Where applicable, collecting and preserving relevant evidence (in cases of corresponding criminal reports, this step may be coordinated with law enforcement agencies)
- Obtaining any relevant medical records pertaining to treatment of the complainant, provided that the complainant has voluntarily authorized release of the records in writing to the investigator

Inspection and Access to Evidence: The parties may identify to the Investigator any evidence or witnesses they wish to be included as part of the investigation. Both parties will also have equal opportunity to inspect and review any evidence obtained during the investigation. The Investigator will complete the gathering of evidence as soon as practicable, which will ordinarily occur within approximately 30 days after the filing of the formal complaint.

After the gathering of evidence has been completed but prior to completion of the investigative report, the Investigator will provide to each party and party's advisor, if any, any evidence obtained as part of the investigation that is directly related to the allegations raised in the formal complaint, including the evidence upon which the University does not intend to rely in reaching a determination regarding responsibility and inculpatory or exculpatory evidence (whether obtained from a party or other source), so that each party can meaningfully respond to the evidence prior to the conclusion of the investigation. The evidence will be provided in an electronic format or a hard copy. The parties will have 10 calendar days to submit a written response to the evidence, which will be considered by the Investigator prior to completion of the investigative report. The evidence will be made available for the parties to use at the hearing to determine responsibility.

Investigative Report: The investigative report shall fairly summarize the relevant evidence and must include the following items and information that is relevant to the allegations in the formal complaint:

- The dates of the Title IX Coordinator's initial receipt of a report of alleged sexual harassment against the complainant, intake meeting, and the filing of the formal complaint
- A statement of the allegation(s), a description of the incident(s), the date(s) and time(s) (if known), and location of the alleged incident(s)
- The names of all known witnesses to the alleged incident(s)
- The dates that the complainant, respondent, and other witnesses were interviewed, along with summaries of the interviews
- Descriptions or summaries of any physical or documentary evidence that was obtained (e.g., text messages, emails, surveillance video footage, photographs)
- Any written statements of the complainant, respondent, or other witnesses
- The response of University personnel and, if applicable, University-level officials, including any supportive measures taken with respect to the complainant and respondent

The Investigator shall provide a draft of the investigative report to the Title IX Coordinator for review before the report becomes final. An electronic or hard-copy version of the final investigative report will be provided to each party (and each party's advisor) concurrently. The investigative report shall be provided as soon as practicable after the parties have submitted their written responses to the evidence (if any) and at least 10 calendar days prior to the determination hearing. The parties may provide a written response to the investigative report within 5 calendar days after receiving it.

E. Determination Hearing

Following the conclusion and distribution of the investigative report, a hearing will be conducted to determine the outcome and resolution of the complaint. The parties and their advisors, if any, will be notified by the Hearing Officer, Hearing Panel chairperson, or Title IX Coordinator of the date, time and location of the hearing, as set forth in the notice provisions below.

Hearing Panel: Within 3 days of the release of the investigative report to the parties, the Chancellor (or designee) will appoint a three-member Hearing Panel, which shall be composed of at least 2 faculty and/or staff members and may include (but is not required to include) one outside person who is not permanently employed by the University. If a Hearing Panel will be used, the Chancellor (or designee) will select one member of the Hearing Panel to act as the Chair. The Title IX Coordinator will provide a copy of the formal complaint and the investigative report, along with the parties' written responses to the investigative report, to each member of the Hearing Panel.

Promptly after the appointment of the members of the Hearing Panel, the Title IX Coordinator will provide concurrent written notice to the complainant and the respondent, setting forth the names of the individuals selected to serve as members of the Hearing Panel. The parties may challenge the participation of any decision-maker based on bias or a conflict of interest by submitting a written objection to the Chancellor (or designee) within 3 calendar days of receipt of the notice. Any objection must state the specific reason(s) for the objection. The Chancellor (or designee) will evaluate the objection and determine whether to alter the composition of the Hearing Panel. Failure to submit a timely and proper objection will constitute a waiver of the objection. Any changes to the members of the Hearing Panel will be provided in writing to both parties prior to the date of the hearing.

Submission of Witnesses Lists: Within 5 calendar days of receipt of the notice of the Hearing Panel, both parties may provide to the Chair of the Hearing Panel a list of witnesses, if any, that they propose be called to testify and a brief

description of each proposed witness's connection to and/or knowledge of the issues in dispute. Absent good cause, a party cannot include a witness on the party's pre-hearing witness list unless the witness was identified during the investigation. The Hearing Panel reserves the right to call relevant witnesses who may not have been included on a party's witness list.

Notice of the Hearing: Not less than 5 days but not more than 10 days after delivery of the notice of the initial composition of the Hearing Panel, the Chair of the Hearing Panel will provide a separate notice to the complainant, respondent, and any other witnesses whose testimony the Hearing Panel deems relevant, requesting such individuals to appear at the hearing to determine responsibility. The notice should set forth the date, time, and location for the individual's requested presence. The Hearing Panel shall provide, in its notice to the parties, the names of the witnesses that the Hearing Panel plans to call. The hearing shall be conducted promptly but no sooner than 10 calendar days after release of the investigative report.

Failure to Appear: If any party fails to appear at the hearing if requested to do so, and such party was provided notice of the hearing as set forth above, then absent extenuating circumstances, the Hearing Panel will proceed to determine the resolution of the complaint. As explained below, a party's failure to appear may impact the Hearing Officer or Hearing Panel's consideration and weight given to the non-appearing party's version of events based on another source, such as the formal complaint or a prior statement.

Option for Virtual or Separate Presence: Live hearings may be conducted with either all parties present in the same geographic location or, at the University's discretion, any or all parties and witnesses may appear at the live hearing virtually, with technology enabling participants simultaneously to see and hear each other. Either party may request not to be in the same room as the other party. If any party makes such a request, then both parties will be required to attend the hearing from a location or room different from where the Hearing Panel is sitting. If the hearing is virtual, or there is a request for separate rooms at a physical location, the University will ensure that all participants are able to simultaneously see and hear the party or witness answering questions. Instructions will be provided for accessibility prior to the hearing date.

Recordings: An audio or audio-visual recording will be created of the live hearing and will be made available for inspection and review at any party's request.

Advisor's Role at Hearing: The complainant and respondent may be accompanied by an advisor during the hearing to determine responsibility. A party must identify his or her advisor (if any) at least 5 days prior to the hearing. The advisor's role at the hearing shall consist of (1) providing private advice to the party he/she is supporting and (2) questioning the opposing party and other witnesses. The advisor can be anyone, including an attorney. A party may arrange for the party's advisor of choice to attend the hearing at the party's own expense. Alternatively, the University will select and provide an advisor to assist a party at the hearing to determine responsibility, without fee or charge, upon request. In either scenario, the advisor may only participate in the hearing to the extent allowed under this policy. A party who wants an advisor to be provided by the University should notify the Title IX Coordinator at least 15 days after the filing or receipt of the formal complaint.

Evidentiary Matters and Procedure: The parties, through their advisors, shall have an equal opportunity to question the opposing party and other witnesses, including fact and expert witnesses, and present other inculpatory or exculpatory evidence. Formal rules of evidence will not be observed during the hearing. The Hearing Panel will conduct the initial questioning of witnesses prior to the questioning by an advisor. The Chair of the Hearing Panel (acting alone or in consultation with other panelists) will make all determinations regarding the order of witnesses, relevancy of questions, and the evidence to be considered or excluded during the hearing and decision-making process. The Hearing Panel may, in its discretion, choose to call the Investigator for the purpose of providing an overview of the investigation and findings.

Witness Examinations by the Parties: Each party's advisor is permitted to question the opposing party and the other witnesses, so long as the questions are relevant and not duplicative of the questions posed by the Hearing Panel. The questions may include challenges to credibility. No other questioning or speaking participation by an advisor will be allowed. A party may not examine a party or witness directly; rather, a party must utilize the services of an advisor for the purpose of posing questions to another party or witness. A party not represented by an advisor may, however, submit a list of proposed questions to the Chair of the Hearing Panel and ask that the questions be posed to the opposing party or witness.

The decision-maker(s) cannot draw an inference about responsibility based solely on a party's or witness's absence from the live hearing or refusal to answer cross-examination or other questions. In a circumstance where a party or witness does not participate in a hearing, the panel should weigh the facts and circumstances in determining whether to consider, and what weight to assign, any statements furnished outside the hearing process.

The Chair of the Hearing Panel will make determinations regarding relevancy of questions before a party or witness answers. If a determination is made to exclude the question based on relevancy, the Chair of the Hearing Panel will provide an explanation of why the question was deemed irrelevant and excluded.

The Chair of the Hearing Panel may disallow the attendance of any advisor if, in the discretion of the Panel Chair, such person's presence becomes disruptive or obstructive to the hearing or otherwise warrants removal. Advisors will not be permitted to badger or question the opposing party or any witness in an abusive or threatening manner. Absent accommodation for a disability, the parties may not be accompanied by any other individual during the hearing process except as set forth in this policy. University officials may seek advice from the University's Office of General Counsel on questions of law, policy, and procedure at any time during the process.

Prior Sexual Conduct: Questions and evidence about the complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the complainant's prior sexual behavior are offered to prove that someone other than the respondent committed the conduct alleged by the complainant, or if the questions and evidence concern specific incidents of the complainant's prior sexual behavior with respect to the respondent and are offered to prove consent.

Confidentiality and Disclosure. To comply with FERPA and Title IX and to provide an orderly process for the presentation and consideration of relevant information without undue intimidation or pressure, the grievance process is not open to the general public. Accordingly, documents prepared in anticipation of the hearing (including the formal complaint, investigative report, evidentiary materials, notices, and prehearing submissions), recordings of the hearing, and documents, testimony, or other information used at the hearing may not be disclosed outside of the hearing proceedings, except as may be required or authorized by law.

Decision of the Hearing Panel and Standard of Evidence: Following the conclusion of the hearing, the Hearing Panel will confer and determine whether the evidence establishes that it is more likely than not that the respondent committed a violation of this policy. In other words, the standard of proof will be the preponderance of the evidence. This standard applies to complaints against both students and employees. In reaching the determination, the Hearing Panel will objectively and thoroughly evaluate all relevant evidence, both inculpatory and exculpatory, and reach an independent decision, without deference to the investigative report. The determination of responsibility shall be made by majority vote.

Written Determination of Responsibility: As soon as practicable following the hearing (and ordinarily within 10 days thereafter), the Chair of the Hearing Panel shall complete a report of the decision-maker's findings. The Chair of the Hearing Panel will send simultaneous notification of the decision to both parties and their advisors, where applicable, with the following information:

- Identification of the allegations potentially constituting sexual harassment under the policy
- A description of the procedural steps taken from the receipt of the formal complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence and the hearing held
- Findings of fact that support the determination
- Conclusions regarding the application of the University's conduct standards to the facts
- A statement and rationale for the result as to each allegation, including a determination as to responsibility using the preponderance of the evidence standard
- Any disciplinary sanctions imposed on respondent
- Whether any remedies designed to restore or preserve equal access to the University's education program or activity will be provided to the complainant (description of remedies is not included)
- Procedures and permissible bases for the parties to appeal

Sanctions: If the Hearing Panel determines that more likely than not the respondent committed a violation of this policy, then the Hearing Panel will determine sanctions and give consideration to whether a given sanction will (a) bring an end to the violation in question, (b) reasonably prevent a recurrence of a similar violation, and (c) remedy the

effects of the violation. Sanctions for a finding of responsibility will depend upon the nature and gravity of the misconduct, any record of prior discipline for a violation of this policy, or both. The range of potential sanctions is set forth in the definitions section of this policy.

Ordinarily, sanctions will not be imposed until the resolution of any timely appeal under this policy. However, if it is deemed necessary to protect the welfare of the victim or the University community, the Hearing Panel may recommend to the decision-maker on appeal that any sanctions be imposed immediately and continue in effect until such time as the appeal process is exhausted.

Remedies: Where a determination is made that the respondent was responsible for sexual harassment, the Hearing Panel will determine any final remedies to be provided to the complainant, if any, and the Title IX Coordinator will communicate such decision to the complainant and the respondent to the extent that it affects him/her. Remedies must be provided in all instances in which a determination of responsibility for sexual harassment has been made against the respondent. Remedies must be designed to restore or preserve equal access to the University's education program or activity. Such remedies may include the same individualized services described above as "supportive measures"; however, remedies need not be non-disciplinary or non-punitive and need not avoid burdening the respondent.

No Retaliation: The Title IX Coordinator will take steps to prevent any harassment of or retaliation against the complainant, the respondent, or third parties, such as informing them about how to report subsequent problems, following up with them to ensure that there are no subsequent problems, and providing training for the campus community.

F. Appeals

Procedure for Appeals: Both the complainant and the respondent may appeal from (1) the Title IX Coordinator's dismissal of a formal complaint or any allegations therein or (2) the Hearing Panel's determination. The appeal should be submitted in writing to the Title IX Coordinator within 5 days of receipt of the Hearing Panel's decision. The Title IX Coordinator will forward the appeal to the Chancellor. The appeal will be decided based on the written record and without deference to the decision of the Hearing Panel.

If the respondent is an employee, the Chancellor (or designee) will decide the appeal. If the respondent is a student, the Chancellor (or designee) will designate an Appeal Panel comprised of at least two faculty and/or staff members. One of the members of the Appeal Panel can be (but need not be) an outside person who is not an employee. If an Appeal Panel is utilized, the Chancellor shall designate one of the panelists as the Chair of the Appeal Panel. The Chair of the Appeal Panel shall make any decisions concerning appellate jurisdiction under the permissible grounds for appeal described below.

The party appealing may use the Appeal Form or the party may submit the party's own written and signed document. Acceptable means of notification include email, facsimile, hand-delivered notification, or postal delivery. The Title IX Coordinator will promptly inform the other party of the appeal.

Grounds for Appeal: The appeal from the decision of the Hearing Panel must be for one of the following reasons: (1) a procedural irregularity that affected the outcome of the decision; (2) there is new evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made and that could affect the outcome of the matter; or (3) the Title IX Coordinator, Investigator(s), or Panel Member(s) had a conflict of interest or bias for or against complainants or respondents in general or against an individual complainant or respondent that affected the outcome.

Responses: Within 5 days of receipt of the appeal, the other party may submit a written statement in response to the appeal and which supports or challenges the dismissal or determination. The response should be submitted to the Title IX Coordinator, who shall provide a copy to the decision-maker and the appealing party.

Decision on Appeal: As soon as practicable after receiving the parties' written submissions (and ordinarily within approximately 10 days), the Chancellor (or designee) or Appeal Panel will issue a written decision describing the result of the appeal and the rationale for the result. The decision on appeal may uphold the decision, modify it, or remand for further factual development. The decision-maker on appeal will concurrently notify the complainant and the respondent of the decision, with a written copy provided to the Title IX Coordinator.

Employees: All non-tenure track faculty and staff members of the University without term contracts are at-will employees who may be terminated at any time, with or without cause. With regard to such faculty and staff, nothing in

this Policy shall create an expectation of continued employment with the University or be construed to prevent or delay the University from taking any disciplinary action deemed appropriate (including suspension and immediate termination of employment) for any violation of state law, federal law or University policy.

G. Time Periods

The University will make every reasonable effort to ensure that the investigation and resolution of a complaint occurs in as timely and efficient a manner as possible.

Any party may request an extension of any deadline by providing the Title IX Coordinator or his or her respective deputies with a written request for an extension that includes reference to the duration of the proposed extension and the basis for the request.

The Title IX Coordinator may also modify timelines in cases where information is not clear, judged to be incomplete, relevant parties are not available for interview, absence of an advisor, concurrent law enforcement activity, the need for language assistance or disability accommodation and/or other circumstances that may arise.

H. Retaliation Prohibited

No person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by Title IX, 34 C.F.R. Part 106, or this policy, or because an individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this part. Intimidation, threats, coercion, or discrimination, including changes against an individual for code of conduct violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or formal complaint of sex discrimination or harassment, for the purpose of interfering with any right or privilege secured by Title IX, 34 C.F.R. Part 106, or this policy, constitutes retaliation. However, the exercise of rights protected under the First Amendment does not constitute retaliation.

I. False Reports

Willfully making a false report of sexual harassment or submitting false information during these proceedings is a violation of University policy and is a serious offense. However, a determination regarding responsibility, alone, is not sufficient to conclude that any party made a materially false statement in bad faith. Any person who willfully makes or participates in making a false or frivolous report of discrimination, harassment, retaliation or sexual misconduct will be subject to disciplinary action. False reporting may also violate state criminal statutes and civil defamation laws.

J. External Reporting Agencies

Although complainants are encouraged to resolve their grievances related to discrimination by utilizing this Complaint/Grievance Procedure, they may have the right to file a complaint directly with the following agencies. Individuals who wish to file complaints with these external agencies should make contact as soon as possible and verify any applicable time limits and deadlines.

Office of Civil Rights (OCR)
U.S. Department of Education
1999 Bryan St., Suite 1620
Dallas, TX 75201-6810
Toll Free: 1-800-421-3481
Telephone: 214-661-9600
Fax: 214-661-9587
OCR.Dallas@ed.gov

NSF Grantees Only
National Science Foundation
Office of Diversity and Inclusion
2415 Eisenhower Ave.
Alexandria, VA 22314
Telephone: 703-292-8020
Fax: 703-292-9072
programcomplaints@nsf.gov

K. Effective Date

The University reserves the right to make changes and amendments to this Policy as needed, with appropriate notice to the campus community. However, the Policy in force at the time that a Complaint is filed will be the Policy used throughout the investigation, hearing, and any appeals.

L. Retention of Records

For a period of at least seven years, the University will maintain the records of:

- Each sexual harassment investigation, including any determination regarding responsibility, any recordings or transcripts, disciplinary sanctions, and remedies provided to the complainant
- Any appeal and the result therefrom
- Any informal resolution and the result therefrom
- All materials used to train Title IX Coordinators, investigators, decision-makers, and any person who facilitates an informal resolution process. These materials will be made publicly available on the University's website.
- Records of any actions, including supportive measures, taken in response to a report or formal complaint of sexual harassment, along with documentation of the University's bases for its conclusion that its response was not deliberately indifferent.
- Documentation pertaining to terminations, expulsions or educational sanctions may be retained indefinitely.

XIII. Definitions

Complainant: Any individual who is alleged to be the victim of conduct that could constitute sexual harassment. At the time of the filing of a formal complaint, a complainant must be participating in or attempting to participate in the education program or activity of the recipient with which the formal complaint is filed. Any person may report sex discrimination, including harassment, whether or not the person reporting is the person alleged to be the victim of discrimination or harassment.

Consent: Consent is clear, knowing, and voluntary. Consent is active, not passive. Silence, in and of itself, cannot be interpreted as consent. Consent can be given by words or actions, if those words or actions create mutually understandable clear permission regarding willingness to engage in (and the conditions of) sexual activity. If coercion, intimidation, threats, or physical force are used, there is no consent.

- If a person is mentally or physically incapacitated so that the person cannot understand the fact, nature, or extent of the sexual situation, there is no consent. Incapacitation can be due to alcohol or drugs or being asleep or unconscious. This policy also covers incapacity due to mental disability, involuntary physical restraint, or from the taking of rape drugs. Possession, use and/or distribution of any of these substances, including Rohypnol, Ketamine, GHB, Brundage, etc. is prohibited, and administering one of these drugs to another person is a violation of this policy. More information on these drugs can be found at <http://www.911rape.org/>
- Use of alcohol or other drugs will never function as a defense to a violation of this policy. An individual violates this policy if the individual initiates and engages in sexual activity with someone who is incapacitated, and (1) the individual knew the other person was incapacitated, or (2) a sober reasonable person under similar circumstances as the person initiating the sexual activity would have known the other person was incapacitated.
- There is also no consent when there is force, expressed or implied, or use of duress or deception upon the victim. Whether an individual has taken advantage of a position of influence over an alleged victim may be a factor in determining consent.
- Force is the use of physical violence and/or imposing on someone physically to gain sexual access. Force also includes overt threats, implied threats, intimidation, and coercion that overcome resistance or produce consent.
- Coercion is unreasonable pressure for sexual activity. Coercive behavior differs from seductive behavior based on the type of pressure someone uses to get consent from another. When someone makes clear to you that they do not want sex, that they want to stop, or that they do not want to go past a certain point of sexual interaction, continued pressure beyond that point can be coercive.
- Under Arkansas law, the age of consent varies with the degrees of assault, the age of the actor, and the relationship of the actor to the other party. For specific information, please refer to Arkansas statutes (e.g., Arkansas Code Annotated § 5-14-125, Sexual Assault in the Second Degree).
- Consent to any one form of sexual activity cannot automatically imply consent to any other forms of sexual

activity. In addition, previous relationships or prior consent cannot imply consent to future sexual acts.

Dating Violence: Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim and where the existence of such relationship is determined based on consideration of the following factors: (1) the length of the relationship; (2) the type of relationship; and (3) the frequency of interaction between the persons involved in the relationship.

Days: Refers to working days, rather than calendar days, unless otherwise specified.

Domestic Violence: The term includes felony or misdemeanor crimes of violence committed by a current spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of Arkansas, or by any other person against an adult or youth victim who is protected from that person's acts under the laws of Arkansas. Under the Arkansas law on domestic abuse, "family or household members" means spouses, former spouses, parents and children, persons related by blood within the fourth degree of consanguinity, in-laws, any children residing in the household, persons who presently or in the past have resided or cohabitated together, persons who have or have had a child in common, and persons who are presently or in the past have been in a dating relationship together.

Education Program or Activity: Includes locations, events, or circumstances over which the University exercised substantial control over both the respondent and the context in which the sexual harassment occurred, and also includes any building owned or controlled by an officially recognized student organization.

Formal Complaint: A document filed by a complainant or signed by the Title IX Coordinator alleging sexual harassment against a respondent and requesting that the recipient investigate the allegation of sexual harassment. The phrase "document filed by a complainant" means a document or electronic submission (such as by electronic mail or through an online portal provided for this purpose by the University) that contains the complainant's physical or digital signature, or otherwise indicates that the complainant is the person filing the formal complaint.

Party: The complainant or respondent.

Preponderance of the Evidence: A standard of proof where the conclusion is based on facts that are more likely true than not.

Respondent: An individual who has been reported to be the perpetrator of conduct that could constitute sexual harassment.

Sanctions: The determination of sanctions to be imposed against a respondent who is found to have been responsible for violating this policy will depend upon the nature and gravity of the misconduct, any record of prior discipline for a violation of this Policy, or both. Sanctions against students may include, without limitation, expulsion or suspension from the University, disciplinary probation, expulsion or suspension from campus housing, exclusion from campus or particular activities, mandated counseling, and/or educational sanctions. Sanctions against employees and other non-students may include, without limitation, a written reprimand, disciplinary probation, suspension, termination, demotion, reassignment, revision of job duties, reduction in pay, exclusion from campus or particular activities, and/or educational sanctions deemed appropriate.

Sexual Assault: The term "sexual assault" means an offense classified as a forcible or nonforcible sex offense under the uniform crime reporting system of the Federal Bureau of Investigation. A nonforcible sex offense includes incest (*i.e.*, the nonforcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law) and statutory rape (*i.e.*, nonforcible sexual intercourse with a person who is under the statutory age of consent). A forcible sex offense is any sexual act directed against another person, without the consent of the victim including instances where the victim is incapable of giving consent. A forcible sex offense includes:

- **Forcible rape:** the penetration, no matter how slight, of the vagina or anus with any part of the body or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- **Forcible sodomy:** Oral or sexual intercourse with another person, forcibly and/or against that person's will or not

forcibly or against that person's will in instances where the victim is incapable of giving consent because of the victim's youth or because of the victim's temporary or permanent mental or physical incapacity;

- **Sexual assault with an object:** Using an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, forcibly and/or against that person's will or not forcibly or against that person's will in instances where the victim is incapable of giving consent because of the victim's youth or because the victim's temporary or permanent or physical incapacity.
- **Forcible fondling:** The touching of the private body parts of another person for the purpose of sexual gratification, forcibly and/or against that person's will or not forcibly or against that person's will in instances where the victim is incapable of giving consent because of the victim's youth or because the victim's temporary or permanent or physical incapacity.

Sexual Harassment: Sexual harassment is conduct on the basis of sex constituting one of the following:

- (1) An employee of the University conditioning the provision of an aid, benefit, or service of the institution on an individual's participation in unwelcome sexual conduct;
- (2) Unwelcome conduct determined by a reasonable person to be so severe, pervasive and objectively offensive that it effectively denies a person equal access to the University's educational programs or activities; or
- (3) Any of the following:
 - (A) "Sexual assault" as defined in 20 U.S.C. 1092(f)(6)(A)(v) and this policy
 - (B) "Dating violence" as defined in 34 U.S.C. 12291(a)(10) and this policy
 - (C) "Domestic violence" as defined in 34 U.S.C. 12291(a)(8) and this policy
 - (D) "Stalking" as defined in 34 U.S.C. 12291(a)(30) and this policy

Stalking: Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others or suffer substantial emotional distress.

Supportive Measures: Non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without a fee or charge to the complainant or respondent before or after the filing of a formal complaint or where no formal complaint has been filed. Such measures are designed to restore or preserve equal access to the recipient's education program or activity without unreasonably burdening the other party, including measures designed to protect the safety of all parties or the University's educational environment or deter sexual harassment.

Title IX Reporting forms are used to report incidences of sexual misconduct and sex discrimination. Sex discrimination includes sexual harassment, sexual assault, relationship violence and stalking. The University's nondiscrimination policy extends to admission, employment, and other programs and activities.

Please use the following link to complete Title IX Reporting Complaint or see the Title IX Coordinator (see page 79 for more information). [Title IX Reporting Form \(maxient.com\)](#)

II. DISCRIMINATION & HARASSMENT POLICY (Non-Title IX) (UAM Operating Procedure 275.2)

I. Policy Statement

The University of Arkansas at Monticello is committed to providing an environment that emphasizes the dignity and worth of every member of its community and that is free from harassment and discrimination. Such an environment is necessary to a healthy learning, working, and living atmosphere. The University expects students, applicants for admission, employees, applicants for employment, affiliates, subcontractors, on-site contractual staff, community members, and visitors to uphold the University's commitment to nondiscrimination and harassment by conducting themselves in manner that is appropriate and consistent with this policy. Accordingly, all acts of discrimination, harassment, and retaliation are prohibited. The University will take prompt and equitable action in response to

complaints about such conduct.

II. Policy Scope

“Discrimination” under this policy refers to action or conduct that (1) is based on race, color, sex, religion, national origin, service in the uniformed services (as defined in state and federal law), veteran status, age, pregnancy, physical or mental disability, gender identity, sexual orientation, or genetic information and (2) materially affects a term or condition of an individual’s employment, education, living environment, or participation in a program or activity.

“Harassment” under this policy means detrimental action or a course of conduct that is based on one of the foregoing categories and that is sufficiently serious (*i.e.*, severe and/or pervasive) and objectively offensive to deny or limit a person’s ability to participate in or benefit from the University’s programs, services, opportunities, or activities or when such conduct has the purpose or effect of unreasonably interfering with an individual’s employment.

III. Relationship to Title IX & Other University Procedures

Reports and complaints regarding sexual harassment, sexual assault, relationship violence, stalking, and similar conduct should first be made to the Title IX Coordinator under the University’s separate policy on sexual assault and harassment. Other forms of discrimination and harassment may be the subject of an initial complaint under this policy. In addition, this policy may be used to address complaints of sexual harassment or assault that may negatively affect the campus community but are dismissed by the Title IX Coordinator based on lack of jurisdiction. In such situations, the appropriate office will have discretion on whether to commence an investigation under this policy.

Reports and complaints of discrimination and harassment that may be subject to other University policies and procedures may be referred to the appropriate office for investigation and resolution (e.g., potential violations of the Code of Student Conduct, concerns addressed by the ADA Student Grievance Procedure).

IV. Offices Hearing Complaints

The Department of Human Resources is responsible for investigating complaints of discrimination and harassment against faculty, staff, and administrative employees. The Office of the Dean of Students is responsible for investigating complaints of harassment and discrimination against students. A complaint to the appropriate office, using the [Bias- Related Incident Report Form](#), should be made within 30 days of the act of discrimination or harassment. The time limit may be waived or extended by the Department of Human Resources or the Office of the Dean of Students if good cause is demonstrated.

V. Investigation

After receiving the complaint, the appropriate office will explore whether the matter can be resolved informally, without disciplinary action or a finding that discrimination or harassment has occurred. If the issue can be resolved informally, no further action will be taken.

If the complaining party chooses to proceed with a formal complaint, the individual against whom the complaint is filed (*i.e.*, the “respondent”) will be instructed to provide a written response to the allegations within 5 working days of the request. The matter will then be investigated promptly.

At the conclusion of the investigation, the investigating office will issue a written determination of responsibility and provide the decision to the complaint and respondent. The determination shall also identify any sanctions or remedies that the investigator believes should be imposed. In the case of employee-respondents, the proposed sanctions and remedies shall serve as a nonbinding recommendation to the appropriate campus administrator.

The institution reserves the right to address, as an administrative matter, conduct that does not constitute a violation of this policy, but nevertheless is inappropriate in a professional work or educational environment.

VI. Appeal

If a student-respondent is dissatisfied with the decision, the respondent may request that the Dean of Students convene a hearing. The request for a hearing must be made within 5 working days of the decision. After receiving the request, the Dean of Students will promptly schedule a hearing that generally follows the procedures used for cases of student misconduct.

If an employee-respondent is dissatisfied with the decision, the respondent may appeal the matter to the Chancellor or designee. A respondent who chooses to appeal must, within 5 working days of receiving the decision, deliver a written statement to the Chancellor or designee that concisely explains why the decision should be overturned or modified. The Chancellor or designee may elect to convene a committee to review the allegations, consider the evidence, and make a recommendation; alternatively, the Chancellor or designee may decide the matter in the absence of a committee. The final decision shall be rendered as soon as practicable and ordinarily no later than 10 working days after receiving the written appeal.

VII. Retaliation

It is a violation of this policy to take an action against an individual because that person has opposed any practices forbidden by this policy or because that person has filed a complaint, testified, assisted, or participated in an investigation or proceeding under this policy. Retaliation includes intimidating, threatening, coercing, or in any way discriminating against an individual because of the individual's opposition, complaint, or participation. Adverse action is retaliatory if it would deter a reasonable person in the same circumstances from opposing practices prohibited by this policy.

VIII. Confidentiality

The University requests confidentiality from all parties and witnesses involved in an investigation. During an investigation, it may be necessary for the investigator to provide details to individuals with a legitimate need to know about the allegations. This may include: (1) information provided to respondents to allow them to fully respond to the allegations, (2) information provided to witnesses or other people with whom investigators communicate in order to obtain or verify information; (3) where appropriate, information provided to management during or following an investigation to allow any necessary actions to be taken. In addition, the identity of the investigation participants and the details of the investigation may become known for reasons outside the control of the investigator.

IX. False Reports

Willfully making a false report of discrimination (including discriminatory harassment) is a violation of University policy and is a serious offense. Any person who willfully makes or participates in making a false report under this policy may be subject to disciplinary action up to and including termination or expulsion.

X. Notification

Faculty, staff, and students should receive notification of this policy; training opportunities; and information on preventing, reporting, and addressing discrimination (including discriminatory harassment) within 30 days of beginning employment or enrollment, and on an ongoing basis annually thereafter.

XI. EEOC and NSF Reporting

Although complainants are encouraged to resolve their grievances related to discrimination by utilizing this policy, they may have the right to file a complaint directly with the appropriate agency. The contact information for the EEOC and NSF are as follows:

Equal Employment Opportunity Commission (EEOC)

National Science Foundation (NSF)

820 Louisiana St., Suite 200
 Little Rock, AR 72201
 Toll Free: 1-800-669-4000
 Telephone: 501-324-5060
 TTY: 800-669-6820
 Fax: 501-324-5991

Office of Diversity and Inclusion
 2415 Eisenhower Ave.
 Alexandria, VA 22314
 Telephone: 703-292-8020
 Fax: 703-292-9072
 Email: programcomplaints@nsf.gov

IV. CONSENSUAL RELATIONSHIPS (UAM Operating Procedure 460.1)

There are inherent risks in any romantic or sexual relationship between individuals in unequal positions (such as faculty and student, or supervisor and employee). These relationships may be less consensual than perceived by the individual whose position confers power. The relationship also may be viewed in different ways by each of the parties, particularly in retrospect. Furthermore, circumstances may change, and conduct that was previously welcome may become unwelcome. Even when both parties have consented at the outset to a romantic or sexual involvement, this past consent may not remove grounds for a later charge of a violation of Policy.

The University does not wish to interfere with private choices regarding personal relationships when those relationships do not interfere with the goals and policies of the University. However, for the personal protection of members of this community, relationships in which power differentials are inherent (faculty-student, staff-student, administrator-student/employee) are regarded as inappropriate, are strongly advised against, and are inherently suspect in the event of a dispute.

Consensual romantic or sexual relationships in which one party maintains a direct supervisory or evaluative role over the other party are unethical. Therefore, persons with direct supervisory or evaluative responsibilities who are involved in such relationships must bring those relationships to the timely attention of their supervisors. This will likely result in the necessity to remove the employee from the supervisory or evaluative responsibilities or will shift the student or employee out of being supervised or evaluated by someone with whom a consensual relationship is established.

Failure to self-report such relationships to a supervisor as required can result in disciplinary action for an employee, up to and including termination.

V. STUDENT COMPLAINT/GRIEVANCE PROCEDURE FOR NON-ACADEMIC MATTERS (UAM Operating Procedure 525.1)

I. Policy Statement

Students may bring forth a complaint to the University to seek further review of a non-academic decision or action by the University (or a University employee acting in an official capacity) that the student contends was in violation of written campus policies, or constitutes unfair or unequal application of such policies.

II. Applicability of Procedure

This procedure applies to students enrolled in traditional courses as well as online courses. This procedure does not apply to matters which are subject to other campus policies and procedures, including but not limited to the following:

- allegations of discrimination or harassment under the University's Policy and Procedure on Complaints of Discrimination and Harassment;
- allegations of sexual harassment under the University's Title IX Policy for Title IX Policy for complaints of Sexual Assault and Other Forms of Sexual Harassment;
- appeals of financial aid decisions under the University's policy on Satisfactory Academic Progress;
- potential violations of the standards of conduct under the University's Code of Student Conduct;

- appeals of academic decisions under the University's Academic Regulations and Appeals Procedures.

III. Reporting a Complaint

A student with a complaint that is non-academic in nature may present the matter to and discuss it with the Vice Chancellor with supervisory responsibility for the area in which the complaint originated. Non-academic grievances may include but are not limited to complaints which do not fall under another University procedure (See below). Complaints originating in the Department of Athletics should be directed to the Director of Athletics. Complaints originating in University Police should be directed to the Chief of University Police. Complaints regarding a Vice Chancellor, the Director of Athletics, or the Chief of University Police should be directed to the Chancellor.

A student may contact the Vice Chancellor for Student Engagement or the Associate Vice Chancellor for Student Engagement & Dean of Students for procedural advice in reference to the resolution of a complaint or grievance.

IV. Informal Resolution

The student should first seek to resolve complaints through informal discussions. The student should arrange an initial meeting with the appropriate Vice Chancellor (or designee), after which the Vice Chancellor (or designee) will attempt to resolve the complaint. If such informal discussions do not produce a satisfactory resolution within five (5) working days from the initial meeting, the student may pursue filing a grievance for formal resolution.

V. Formal Resolution

If the efforts to resolve a complaint informally are not successful, no later than sixty (60) days following the originating decision or action the student seeks to have reviewed, the student shall file a formal grievance in writing, clearly and succinctly stating the facts relating to the grievance and which policies the student contends have been violated or misapplied. The grievance should be submitted to the Vice Chancellor with supervisory responsibility for the area in which the complaint originated, or their designee.

The Vice Chancellor (or designee) will review the material provided with the grievance, and may, at their discretion, gather additional information helpful to a decision, whether in writing or through meeting with the student and/or other persons involved. The Vice Chancellor (or designee) shall issue a decision, in writing, within ten (10) working days after receiving the student's formal grievance, or as soon as practicable thereafter. The written decision will explain the basis for the decision, remedial steps required, if any, and the procedure for requesting an appeal. A copy of the written decision will be provided to the complainant (student), the person or persons involved in the grievance, the Human Relations Officer, the immediate supervisor, and the Chancellor.

VI. Appeals

If the student wishes to appeal the result of the formal resolution, then the student may, within three (3) working days after the date of the written decision, appeal the decision to the Chancellor of the University. The Chancellor may, at their discretion, designate an appeal review officer or ad hoc committee to review the appeal. An ad hoc committee will consist of at least three (3) members, including two (2) members from the faculty and/or professional staff and one (1) student. No members should be selected from the area in which the grievance originated.

The Chancellor (or designee) will review the material provided by the student, the resulting decision from the formal resolution, any other material which has been assembled regarding the matter, and any applicable University policies and may, at their discretion, gather any additional information helpful to a decision, whether in writing or through meeting or consulting with any individuals deemed necessary.

The Chancellor (or designee) shall issue a decision, in writing, within ten (10) working days following the receipt of the appeal, or as soon as possible thereafter. A copy of the appeal decision will be provided to the complainant

(student), the person or persons involved in the grievance, the Human Relations Officer, the immediate supervisor, and the supervising Vice Chancellor.

The appeal decision shall be final.

VI. DRUG FREE SCHOOLS AND COMMUNITIES ACT

The Drug-Free Schools and Communities Act Amendments of 1989 require that the University annually distribute, in writing, to each faculty and staff member information concerning the use of alcohol and illicit drugs. Below are University policies, legal statutes, health risks and available resources for treatment and counseling related to alcohol and illicit drugs.

A. University Policy and Sanctions

As a condition of employment, the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcohol is prohibited on the premises of the University of Arkansas at Monticello. Violators of this policy are subject to discipline up to and including termination. This disciplinary action may include the requirement of the employee that he/she successfully finish an employee assistance program sponsored by an approved private or governmental institution. UAM is an alcohol-free, drug-free environment.

B. Statement of Local, State and Federal Law Applicability

All local, state and federal laws pertaining to controlled substances and alcohol abuse are enforced on campus. Sanctions for controlled substances range from a fine of \$575.00 for simple possession to twenty years for felony possession:

1st Offense -	\$450.00 Fine Driver's License Suspended for 90 days 24 Hours in Jail
2nd Offense -	\$1,000.00 Fine Driver's License Suspended for 1 Year 7 Days in Jail
3rd Offense -	\$1,500.00 Fine Driver's License Suspended Indefinitely 30 Days in Jail
4th Offense -	Felony, Jail Time to be Determined by Judge

C. Alcohol and Illicit Drug Health Risks

The use of alcohol and other drugs has many adverse effects on the body. Initially, alcohol causes an increase in heart rate, then momentarily causes depression of the central nervous system. This depression leads to a decrease in heart rate, blood pressure, and respiratory rate. It also causes the brain to function in an abnormal manner resulting in slow reactions, speech and vision impairments, and problems with mechanical tasks such as walking and driving.

Over a long period of time, alcohol consumption may lead to cirrhosis of the liver, enlarged heart, congestive heart failure, gastritis, gastric ulcers, cancers of the mouth, esophagus and stomach, weakened muscles and bones, personality disorders, brain damage and, possible psychosis.

Alcohol consumption also causes malnutrition because alcohol robs the body of many vitamins and minerals by interfering with their absorption. The decrease in appetite caused by alcohol and the substitution of alcohol for food are also contributors of nutritional deficits.

Other popular drugs such as anabolic steroids, cocaine, and marijuana also have severe health risks. Anabolic steroids may cause over aggressiveness and sterility; cocaine causes severe depression, possible hallucinations and paranoia, and a change in blood pressure, heart rate, and respiratory rate which may lead to congestive heart failure; and marijuana causes alterations in mood, memory, motor coordination, cognitive ability, and self-perception.

D. Counseling and Treatment Services

Individuals needing information about alcohol or illicit drug counseling, treatment, rehabilitation, or re-entry programs can contact the Counseling and Testing Office located in Harris Hall. This office can provide information on programs located throughout the state. Additionally, employees carrying University medical insurance are eligible for substance abuse care insurance. Employees with specific questions concerning insurance coverage should contact the Personnel Office.

VII. DRUG-FREE WORKPLACE

The University of Arkansas at Monticello has adopted the State of Arkansas Drug-Free Workplace Policy. This policy explains certain responsibilities of the University and its employees in order to maintain a drug-free workplace.

VIII. CLERY ACT DISCLOSURE

Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act

IMPORTANT NOTIFICATION FOR FACULTY/STAFF, STUDENTS and the University Community

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (20USC § 1092(f)) is the federal law originally known as the Campus Security Act. This Act requires colleges and universities across the United States to disclose information about crime on and around their campuses.

To comply with the Clery Act, the UAM Department of University Police has prepared an *Annual Security Report/Fire Safety Report* located on the UAM web site at:

<http://uam-web2.uamont.edu/pdfs/Student%20Affairs/AnnualSecurityAndFireSafetyReport.pdf>

The report is available to both current and prospective students and employees as part of the University's commitment to the safety and well-being of the UAM community.

The Annual Security Report/Fire Safety Report includes statistics for the previous three years concerning reported crimes that occurred on-campus, in certain off-campus buildings, on property owned/controlled by the University of Arkansas at Monticello, and on public property within, or immediately adjacent to and accessible from, the campus. The report also includes institutional policies concerning campus security, such as policies addressing sexual assault, and other matters.

The Annual Security Report/Fire Safety Report is updated each year. In addition to the on-line availability, a copy can be obtained by contacting the Department of University Police at 870 460-1083 or the Office of Student Engagement at 870-460-1053.

APPENDIX A - The University of Arkansas at Monticello Constitution**The UAM Constitution****ARTICLE I SCOPE AND PURPOSE**

We, of the University of Arkansas at Monticello, share with all universities the commitment to search for truth and understanding through scholastic endeavor. We recognize that the method of governance of any institution is of singular importance in determining the character of that institution. We further recognize that our commitment to scholastic endeavor is best governed by the corporate wisdom, participatory decision-making, and collective efforts of the students, faculty, staff, and administrators of the University of Arkansas at Monticello.

Therefore, we hereby ordain and establish this constitution for governance of the University of Arkansas at Monticello pursuant to the policies established by the Board of Trustees of the University of Arkansas, under the authority of the University of Arkansas Board of Trustees Board Policy 100.4, "Rules and Regulations of the Board of Trustees of the University of Arkansas for the Governance of the U. of A., 1975," and as specifically granted in Board Policy 1410.1, Campus Governance (dated September 4, 2009), and any subsequent revisions thereof.

We expect this constitution to promote the recognition of problems, to enable the use of human and capital resources for solutions to those problems, to facilitate communication within the University community, and to promote standards of tolerance, fairness, and respect toward all members of the University community. We further trust that this constitution promotes a participatory collegium toward the enlightened furtherance of the academic charge and ideals upon which the University of Arkansas at Monticello is founded.

ARTICLE II THE ASSEMBLY

Section I. Name. The name of the governing body of the University of Arkansas at Monticello (UAM) shall be the UAM Assembly, hereinafter called the Assembly.

Section 2. Authority and Responsibility. The UAM Assembly is, under the Board of Trustees, the ruling legislative body for the development and revision of educational policies and programs of UAM. The UAM Assembly shall have legislative powers on local educational policies including:

1. Admission requirements
2. Curriculum and courses
3. Degrees and requirements for degrees
4. Calendar and schedule
5. Awards of honors and honorary degrees
6. Student Affairs
7. Interpretation of its own legislation

In addition, the Assembly shall have the authority to make recommendations to the Chancellor, President, and Board of Trustees on any matter of general faculty or University concern. Through the Chancellor, actions on any matter the Assembly may recommend are reported to the President and, when requested by the University government or considered necessary and desirable by the President, to the Board of Trustees.

The Assembly retains the powers of initiative and referendum in all its actions and deliberations.

ARTICLE III MEMBERSHIP

Section 1. Membership in the Assembly shall be granted to all whose professional responsibilities fall within the following categories:

- A. Faculty. Faculty on appointments of half-time or more at the rank of instructor or above, or faculty equivalents with corresponding appointments according to University of Arkansas Board Policy 405.1 shall be members of the Assembly.
- B. Administration, staff, and students. Administration, staff, and student as defined in Article I of the Bylaws shall be members of the Assembly.
- C. Other membership. It is desirable to confer Assembly membership upon other positions within the administration, faculty, professional staff, non-professional staff, and student body, insofar as the duties of those positions contribute to the academic responsibility for which the campus exists. All such positions that qualify for Assembly membership shall be listed in Article I of the Bylaws.
- D. UAM Campus. The University of Arkansas at Monticello (UAM) campus refers to any location where UAM courses of instruction are taught: Monticello, Crossett, McGehee, or any other location which may be added.

Section 2. Addition or deletion of Assembly members listed in Article I of the Bylaws shall be accomplished using the standard procedures for amendment of the Bylaws, except that voting for such addition or deletion shall be done on a position-by-position basis and shall be conducted by secret ballot.

ARTICLE IV OFFICERS

Section 1. Officers. The offices of the UAM Assembly shall be the Chairperson, Vice Chairperson, Secretary, and Parliamentarian. All officers will serve a one-year term but may be re-elected to not more than two successive terms. The Chairperson and Vice Chairperson shall be elected from members of the Assembly who hold faculty appointments but are not academic unit heads. The Secretary and Parliamentarian shall be elected from members of the Assembly.

Section 2. Vacancies in Office. In the event of a vacancy in the office of the Chairperson, the Vice Chairperson will assume the duties of that office. Vacancies in other offices of the Assembly will be filled by appointments by the Chairperson. In the event that both offices of the Chairperson and Vice Chairperson become vacant, the Parliamentarian shall call a special election to fill these offices. The membership of the Assembly must be notified at least five (5) days in advance of the special election, with nominations coming from the floor. In the event that more than two are nominated, the two receiving the most votes are to be placed in a run-off unless one receives a majority.

ARTICLE V MEETINGS

Section 1. Regular meetings. The UAM Assembly shall meet not less than two times during each fall semester and each spring semester. The Assembly may be called into regular meeting by either the Chairperson of the Assembly or the Chancellor. In addition, a regular meeting shall be called by the Assembly Chairperson upon petition by ten (10) percent of the members of the Assembly. Floor privileges are reserved for Assembly members. The agenda for all regular meetings of the Assembly shall be prepared and distributed by the Chairperson at least five (5) academic days before the meeting. Only items on the agenda may be voted on. After the agenda has been cleared, the floor shall be open for matters of general discussion.

Section 2. Special Session. In the event of administrative or academic emergency, a special session of the Assembly may be called. Either the Chairperson of the Assembly or the Chancellor may call a special session. In addition, a special session shall be called by the Assembly Chairperson upon petition by ten (10) percent of the members of the Assembly. The calling of the special session is to provide a means for waiving the five-day (5) requirement for distribution of the agenda, as follows. Upon the announcement of and in conjunction with the call of a special session, the agenda for the session shall be distributed to all members of the Assembly; the agenda shall also be available for distribution at the beginning of the session. A quorum shall be required to call the special session to order. Following the call to order, a vote of Assembly sanction for waiving the five-day (5) distribution requirement of the agenda shall be taken. A three-fourths (3/4) vote of those present and voting

shall constitute the Assembly's sanction for waiver; a failure to sanction waiver shall serve as adjournment of the special session. Following sanction for waiver, the special session can then be used for the conduct of Assembly business as established in this Constitution and Bylaws, except that special sessions cannot be convened for purposes of amendment of either the Constitution or the Bylaws.

Section 3. Minutes. Copies of the minutes of any regular meeting or special session of the Assembly must be distributed to the President of the University, posted on the UAM website, and deposited in the UAM library no later than five (5) academic days after the meeting. The rules of order shall be the current edition of Robert's Rules of Order-- except that normal rules of order may be suspended upon unanimous consent of those present.

Section 4. Legislative action. A simple majority of those present and voting, except as otherwise specified herein, shall be required for a measure to carry provided a quorum is present. A quorum shall consist of forty percent of the Assembly members. Legislative action will proceed from the Assembly to the Chancellor, the President, and the Board of Trustees. Legislative action of the Assembly becomes effective at the end of two weeks, except that the Assembly may make any action effective immediately by declaring it to be an emergency by three-fourths (3/4) vote of those present and voting.

Section 5. Disapproval by the Chancellor. Any action of the Assembly may be disapproved by the Chancellor within two weeks after receipt of same. The Chancellor will notify the Assembly of such disapproval in writing. If the Chancellor and the University organization are unable to reconcile their differences, the Assembly may, by a three-fifths (3/5) vote of those present and voting, provided that a quorum is present, appeal these differences to the President for mediation and to the Board of Trustees. If settlement is not achieved within thirty days, the President shall submit the issue to the Board of Trustees for resolution.

ARTICLE VI AMENDMENTS

Section 1. Amendment procedures. The Constitution may be amended by the following procedure. Proposed amendments must be signed by ten (10) or more Assembly members and presented to the Assembly Chairperson who will distribute the proposed amendment to members of the Assembly at least ten (10) days before a regular meeting. A three-fourths (3/4) affirmative vote of Assembly members present, and voting is required for approval of the proposed amendment. Any such proposed amendment or amendments shall become effective and be in operation when expressly approved by the Board of Trustees of the University or after approval by the Board of Trustees on a day specified therein.

September 4, 2009 (Revised)

April 26, 2001 (Revised)

January 19, 1996 (Revised)

January 18, 1985 (Revised)

November 4, 1983 (Revised)

February 19, 1982 (Revised)

November 18, 1977

THE BYLAWS OF THE CONSTITUTION OF THE UAM ASSEMBLY

(Revised August 17, 2009)

The following are the Bylaws of the UAM Constitution.

ARTICLE I MEMBERSHIP

Section 1. Assembly Membership. In addition to membership in the Assembly as granted in Article III Section I of the UAM Constitution, membership in the Assembly shall be granted to all whose professional responsibilities fall within the following categories.

- A. Administration. The President of the University System shall be ex-officio, a member in the Assembly. Administrative membership is also granted to the chief administrative officers as follows:

Chancellor
Vice Chancellors
Academic Unit Heads

- B. Staff. Membership in the Assembly shall be granted to additional members of the staff whose professional responsibilities are of academic importance. Staff membership is specifically granted to the following:

Registrar
Dean of Students Directors

- C. Students. The President of the SGA shall be a member of the Assembly. Additional student members shall be designated in the following manner. Each academic unit shall supervise an election in which the faculty of that unit elects one of its students to Assembly membership; the names of students so elected shall be communicated to the Assembly Chairperson by April 15. The SGA President shall appoint twelve additional students to serve as members of the Assembly; the SGA President will certify the names of students so appointed to the Assembly Chairperson effective May 1. The term of office for student members shall begin May 15.

All students shall serve a one-year term in the Assembly and may be re-elected. In the event that a student Assembly member resigns or is otherwise unable to complete his or her term of office (either by graduation, withdrawal, suspension, or other cause of dissolution of association with the University), the SGA President shall appoint a student to fill the vacancy.

ARTICLE II OFFICERS

Section 1. Election of officers. Election of Assembly officers shall be conducted in the month of April, as follows.

The Assembly Chairperson shall appoint a nominating committee from members of the Assembly prior to April 1. The nominating committee shall submit a slate of nominees for Assembly offices to all Assembly members five (5) academic days before the election date. At least two (2) members must be nominated for each position.

Nominations from the floor are also permitted. In the event that more than two are nominated for a given position, the two receiving the most votes are to be placed in a run-off unless one receives a majority. The term of office shall begin May 15.

The Chairperson:

1. Shall be ex-officio a non-voting member of all standing committees, except the Nominating Committee, in which he or she is not granted full membership as described in Article III of these Bylaws;

2. Shall have the authority to appoint special committees;
3. Shall be ex-officio a non-voting member of all special committees.

ARTICLE III COMMITTEES

Section 1. Scope and Purpose. The work of the UAM Assembly shall be carried on in large part by the action of various committees. Committees of the Assembly are constituted to provide a forum in which a greater detail of attention can be given to tasks and matters before the Assembly. As such, all Assembly committees shall be empowered to conduct investigations, make recommendations, and formulate legislation on matters under their consideration. The actions of all committees, except the Committee on Committees and those reporting directly to the Chancellor, are subject to Assembly approval and must be reviewed by the Assembly at its next regularly scheduled meeting. Under extraordinary circumstances including, but not limited to, the cancellation of a regular meeting, the failure of a regular meeting to go forward due to a lack of quorum, or board policy changes, the Assembly leadership shall have the power to call an emergency vote to approve Assembly actions. The vote will occur electronically and within 48 hours of the emergency declaration. Three-fourths of the Assembly leadership must agree on making the emergency declaration. The secretary shall establish an electronic voting procedure accessible to all assembly members and which shall function as a roll call vote.

Section 2. Committee Membership. Membership on Assembly committees, except the Committee on Committees, shall be by appointment by the Committee on Committees, and shall carry a two-year term beginning May 15. Within each committee, terms will rotate such that an alternate half of each committee shall be up for appointment each year. Members of the Executive Council shall not be eligible for committee membership.

Section 3. Committee Organization. The Assembly Chairperson will call a meeting of all committees, except the Faculty Committee on Dismissals, no later than September 15 for the purpose of electing a Chairperson and Recording Secretary. Each committee shall meet, elect officers, and report the results to the Assembly Chairperson within five (5) academic days.

Section 4. Committee Operating Procedures. Each standing committee shall develop a set of operating procedures and shall report those operating procedures to the Assembly for approval. Similarly, any subsequent revision in the operating procedures shall be reported to the Assembly for approval. Copies of current operating procedures shall be maintained by the Chairperson of the Assembly, posted on the UAM website, and deposited in the UAM library no later than five (5) academic days after approval by the Assembly.

Section 5. Standing Committees. The following list describes the committees, their composition, and areas of authority. As far as committee composition is concerned, the term "faculty member" refers to all faculty members of the Assembly, including academic unit heads, unless specifically stated otherwise. Academic units are defined as schools, divisions, and colleges unless specifically stated otherwise. Academic unit will not refer to the Division of General Studies unless specifically stated otherwise. Student and staff members of the Assembly Committees are not required to be members of the Assembly.

COMMITTEE ON COMMITTEES

Composition: UAM Assembly Chairperson, President of the Student Government Association, one faculty member elected by members of each academic unit, and one staff member elected by staff members of the Assembly. The Chairperson of the Assembly shall call for the election of the Committee on Committees by September 15. Members shall serve a one-year-term, but may be re-elected.

On or before April 15, the SGA President shall submit to the Chairperson of the Assembly a list of students who expect to be enrolled for the subsequent fall and spring semesters, and who are eligible for appointment to Assembly Committees.

Function: Appoint the membership to Assembly Committees. On or before May 1, the Committee on Committees will notify the Assembly Chairperson of all committee appointments. The Assembly Chairperson will notify individuals of their committee assignment and the entire Assembly of committee appointments. All Committee appointments will be effective May 15. Appointments may be made at other times to serve the unexpired terms. Upon notification, the Committee on Committees will replace individuals who miss three (3) consecutive meetings of their committees.

ACADEMIC APPEALS COMMITTEES

Composition: The UAM Appeals Committee shall be composed of seven (7) full-time faculty members from seven different academic units and seven alternates who shall attend meetings when principal members cannot. The alternates are to come from the same academic unit as the principal members. The Committee on Committees, as governed by the Assembly Constitution, will select the committee members. The Registrar will serve as a non-voting ex-officio member.

The UAM College of Technology-Crossett and the UAM College of Technology- McGehee Appeals Committees shall be composed of five (5) full-time faculty members at each location. Alternates may be selected from the same academic unit as the original member. The Committee on Committees, as governed by the Assembly Constitution, will select the committee members. All committee members hearing an academic appeal must originate from the faculty identified as approved committee members. Arbitrary replacements are not permitted.

Function: These committees are responsible for hearing student appeals of academic probation, suspension, and other academic matters. They shall also hear appeals of grades if mediation by the school dean/division chair or Vice Chancellor for Academic Affairs cannot resolve a dispute. Decisions of the Academic Appeals Committees are final and cannot be appealed to the Assembly, any administrator, or Board.

ATHLETIC COMMITTEE

Composition: Director of Athletics, Senior Woman Administrator (SWA), Faculty Athletic Representative (FAR), five faculty members, and two students from the Student Athletic Advisory Committee (SAAC).

Function: This committee is responsible for enforcement of the athletic rules and regulations of the Gulf Coast Conference and the National Collegiate Athletic Association. The committee shall also provide input regarding the addition or replacement of coaching personnel. This committee shall review and provide guidance to the University on the overall athletic program.

CURRICULUM AND STANDARDS COMMITTEE

Composition: One faculty member (excluding academic unit heads) from each academic unit, two students, and a non-voting academic unit head representative elected by the Academic Council. Student members may not be from the same academic unit.

Function: This is an institution-wide committee whose primary responsibility is the supervision of University academic standards and academic unit curriculum development at the undergraduate level. The committee makes recommendations to the Assembly on new major and minor programs, changes in existing programs, general changes in academic policy, matters pertaining to the General Education program, general and specific degree requirements, and course modification, additions, and deletions. The committee also makes recommendations to the Assembly on admissions standards for satisfactory progress and granting of honors, and academic thresholds for probation and dismissal. This committee is also charged with planning and implementing UAM's schedule, and with editorial responsibility for the academic sections of the UAM catalog.

In general, academic unit heads are responsible for representing proposed program changes to this committee. However, others may make recommendations for program changes or general changes in academic policy provided the academic unit head involved receives advance notice and has the opportunity to be present whenever matters concerning his or her academic unit are to be discussed.

Agenda and minutes shall be sent to the Chancellor, Vice Chancellors, and all academic unit heads.

TECHNICAL PROGRAMS' CURRICULUM AND STANDARDS COMMITTEE

Composition: Two full time faculty members from each UAM College of Technology and one faculty member from

the Monticello campus. The Associate Vice Chancellor for Technical Education will serve as a non-voting member.

Function: The primary responsibility of this committee is the supervision of University technical program standards and technical curriculum development. The committee makes recommendations to the Assembly on new Certificates of Proficiency, Technical Certificates, and Associate of Applied Science programs to be offered by the Colleges of Technology as well as changes to existing programs, general changes in technical academic policy, general and specific credential requirements, course modifications, additions, and deletions.

In general, the Vice Chancellor for each technical campus is responsible for presenting proposed program changes to this committee; however, others may make recommendations for program changes or general changes in technical program policy provided the Vice Chancellors for technical programs receive advance notice and have the opportunity to be present whenever matters concerning his or her technical programs are to be discussed.

The agenda and minutes of all meetings of the Curriculum and Standards Committee for Technical Programs shall be sent to the Chancellor, VCAA, the Chairperson of the Assembly, the Vice Chancellors of each UAM College of Technology, and the Associate Vice Chancellor for Technical Education.

FACULTY COMMITTEE ON DISMISSALS

Composition: All tenured faculty members of the Assembly. Academic unit heads are ineligible.

Function: This committee is formed to provide a pool from which a committee of faculty members can be selected to conduct an inquiry into a dismissal notice if requested by a faculty member or to serve as a committee to conduct a formal dismissal hearing, if formal proceedings become necessary. Committee selection and proceedings will be in accordance with University of Arkansas Board Policy 405.1 and the University of Arkansas at Monticello Guidelines on Appointment, Reappointment, Promotion, Tenure, and Dismissal dated July 1, 1980, and any subsequent revisions.

FACULTY EQUITY AND GRIEVANCE COMMITTEES

Composition: The UAM Faculty Equity and Grievance Committee shall be composed of seven (7) full-time faculty members. The UAM College of Technology-Crossett and the UAM College of Technology-McGehee Faculty Equity and Grievance Committees shall be composed of five (5) full-time faculty members at each location.

Function: This committee is designed to conduct an inquiry into individual faculty grievances when requested by the Chancellor in accordance with Step 2 of the academic grievance procedure as listed in the Faculty Handbook. A "grievance" means a dispute, concerning terms and conditions of the employment arising from any administrative decision which the academic employee claims is in violation of rights under, or a failure to apply, established University personnel regulations, policies, or practices, or which results from a misinterpretation or a misapplication thereof. Not included are matters of non-reappointment, dismissal, award of tenure, and promotions. Procedures to be followed are listed in the Faculty Handbook.

FACULTY RESEARCH COMMITTEE

Composition: Five faculty members.

Function: This committee shall be responsible for seeking and recommending to the Vice Chancellor for Academic Affairs, the Assembly and ultimately to the Chancellor, the distribution of available research funds. The committee is also directed to actively promote research at UAM and to cooperate with other University of Arkansas campuses in this regard.

LIBRARY COMMITTEE

Composition: Director of the Library, one faculty member from each academic unit, and two students.

Function: The Committee shall recommend practices which will facilitate general library development. Important among these is the establishment of proper guidelines for the acquisition of library materials. Funds for this purpose will be equitably distributed among the various faculties.

STUDENT AFFAIRS COMMITTEES

Composition: The UAM Student Affairs Committee shall be composed of three faculty members, two members from the Division of Student Affairs, and three students. The UAM College of Technology-Crossett and the UAM College of Technology-McGehee Student Affairs Committees shall be composed of three faculty members, an administrator from Student Services, and three students at each location.

Function: This committee recommends policy concerning all non-academic student activities and student organizations. Its duties are to recommend certification of UAM organizations for official recognition, to identify or recognize sponsors or advisors for student organizations, to recommend standards of behavior for UAM students, and to otherwise promote the establishment of a University environment conducive to student welfare. The Committee deals with appeals of suspension or revocation of official UAM recognition for student organizations after all other avenues have been explored. Ordinarily, the decisions of this committee are to be regarded as final and effective immediately; however, the committee decisions may be appealed to the Assembly.

TEACHER EDUCATION COMMITTEE

Composition: Dean, School of Education; five (5) faculty from academic units that prepare teachers; One (1) each from Arts and Humanities, Mathematical and Natural Science, and Social and Behavioral Science, and two (2) members-at-large from these units; five (5) faculty from the School of Education and two (2) currently enrolled students in good standing with both students being appointed by the UAM Student National Education Association.

Function: This committee shall formulate policy, review programs, and provide institution-wide guidance within the purview of teacher education. The Committee also makes recommendations to the Curriculum and Standards Committee on curriculum matters related to teacher education via the curriculum review process.

ARTICLE IV COUNCILS

Section 1. THE UAM FACULTY COUNCIL

A. Composition. The UAM Faculty Council shall consist of all full-time faculty holding rank of instructor or above.

B. Authority. The Faculty Council shall exercise general advisory powers on all matters dealing solely with faculty. These matters include such things as promotion, tenure, fringe benefits, and faculty rights and privileges. Proposals submitted before the Faculty Council shall be considered passed upon receiving a simple majority of those members present and voting.

All actions of the Faculty Council are sent directly to the Chancellor and through the Chancellor to the President of the University of Arkansas system.

C. Meetings. The Faculty Council may be called into session by the Vice Chairperson of the Assembly as the need arises. In addition, a session will be called by the Vice Chairperson of the Assembly upon petition by five Faculty Council members.

The stated purpose of the called session will be prepared and distributed by the Assembly Vice Chairperson at

least five (5) academic days before the meeting.

D. Officers. The Officers of the Faculty Council shall be a Chairperson and a Secretary, and each shall be selected from the tenured faculty except academic unit heads. The Assembly Vice Chairperson shall serve as the Chairperson of the Faculty Council. Failure of the Assembly Vice Chairperson to be eligible for the Faculty Council Chair will result in the election of a Chairperson *Pro Tem*. The Assembly Vice Chairperson will serve as the moderator of the election of the Chairperson *Pro Tem* at the beginning of the called meeting. The Chairperson *Pro Tem* will hold office until the Faculty Council votes that the purpose of the called meeting has been completed. The Secretary of the Faculty Council shall be nominated by the Faculty Council Chair and approved by the Council.

Section 2. UAM GRADUATE FACULTY AND THE UAM GRADUATE COUNCIL

A. Organization. The UAM Graduate Faculty and the UAM Graduate Council are organized under the statement of Organization of Graduate Studies, University of Arkansas at Monticello, dated July 11, 1986, and subsequent revisions thereof.

B. The UAM Graduate Faculty. The UAM Graduate Faculty shall consist of the President of the University of Arkansas System, the Chancellor, the Vice Chancellor for Academic Affairs/Dean of Graduate Studies, and all members of the UAM faculty that have been granted graduate faculty status according to the qualifications established in the Statement of Organization. The Graduate Faculty shall have the legislative authority for all graduate academic matters, and shall operate through delegation of legislative authority to the UAM Graduate Council while retaining the interrelationship between the Graduate Faculty and the Graduate Council are established in the Statement of Organization of Graduate Studies.

C. The UAM Graduate Council. The UAM Graduate Council shall serve as the deliberative body and legislative authority representing and responsible to the UAM graduate faculty. The Graduate Council shall consist of one representative from each academic unit approved to offer graduate courses, two members-at-large, plus the Vice Chancellor for Academic Affairs/Dean of Graduate Studies who will serve as ex-officio voting member. The UAM Graduate Council shall establish its own governance and interpret its own legislation, and shall meet not less than once per semester.

ARTICLE V SYSTEM COMMITTEES

Section 1. Composition. Systemwide standing committee members will be elected by the local governance body which deals with their particular functions as determined by the UAM Assembly Referral Committee, unless authority has been given to the Chancellor by the University of Arkansas Board and/or President to appoint systemwide committee members.

ARTICLE VI AMENDMENTS TO THESE BYLAWS

Section 1. Amendment Procedures. The Bylaws may be amended by the following procedures. Proposed amendments must be signed by ten (10) or more Assembly members and presented to the Assembly Chairperson who will distribute the proposed amendment to members of the Assembly at least ten (10) days before a regular meeting. A three-fifths (3/5) vote of Assembly members present and voting is required for approval of the proposed amendment. Any such proposed amendment or amendments shall become effective and be in operation upon passage by the Assembly and approval by the Chancellor.

Approval by the President or the Board of Trustees of the University is not required for changes in the Bylaws that

are approved by both the Assembly and the Chancellor. However, should the Chancellor veto any proposed changes in the Bylaws, the provisions under Article V Section 5 of the UAM Assembly Constitution shall come into effect and shall supersede the approval provisions herein stated.

ARTICLE VII UAM PUBLICATIONS

All UAM publications which contain academic policy and procedures, including, but not limited to the UAM Catalog, the UAM Student Handbook, and the UAM Faculty Handbook, must be submitted for approval to the Curriculum and Standards Committee prior to final publication by the academic or administrative unit that supervises their publication. In the event that the UAM catalog is ambiguous on matters of policy or procedure, the appropriate Assembly committees and the Vice Chancellor for Academic Affairs will work together to resolve said ambiguity.

APPENDIX B- Promotion and Tenure Portfolio Guidelines

Schedule for Promotion and Tenure Recommendations

Promotion and Tenure Cover Sheet/Checklist

Guidelines for Preparing Curriculum Vita

PROMOTION AND TENURE SCHEDULE

December 1	Faculty wishing to be considered for promotion and /or tenure must have an updated vita and other supporting documents on file with the Unit Head.
December 15	Following a review of material on file for each eligible faculty, the Unit Head forwards recommendations for promotion / tenure to the Vice Chancellor for Academic Affairs. The Unit Head notifies the candidates of recommendation for promotion / tenure.
December 18	Faculty not receiving a recommendation may file a written appeal with the Vice Chancellor for Academic Affairs for further consideration. If a candidate appeals, the unit head will forward the recommendation for denial and all relevant documents to the Vice Chancellor for Academic Affairs.
First Day of Class for Spring Semester	The Vice Chancellor for Academic Affairs forwards to Unit Head's recommendation and any appeals to campus-wide review committee for each candidate.
January 25	Each member of each committee submits an unsigned recommendation to the Vice Chancellor for Academic Affairs.
February 1	The Vice Chancellor for Academic Affairs submits recommendations to the Chancellor. The Vice Chancellor for Academic Affairs notifies each candidate of his / her recommendation.
February 5	Candidates receiving a negative recommendation may submit a written appeal to the Chancellor.
February 10	The Chancellor submits a recommendation on each candidate to the President. The Chancellor notifies each candidate of his / her recommendation.
Five (5) days after Notice of negative recommendation from the Chancellor	Candidates receiving a negative recommendation from the Chancellor may file a written appeal with the President. Upon notification of a candidate filing an appeal with the President, the Chancellor will forward submitted documents and recommendations to the President.

Deadlines which fall on a weekend or vacation day are extended to the next working day. In this case, candidates are to have at least three days to file an appeal of a unit head's denial of recommendation and at least four days to file an appeal of the Vice Chancellor for Academic Affairs' denial of recommendation.

PROMOTION AND/OR TENURE COVER SHEET/CHECKLIST

For further guidance see the Faculty Handbook Chapter 3.

This checklist provides a basic outline for arranging tenure and promotion documents.

Name _____ Academic Unit _____

Rank _____ Date _____

Date of appointment/last promotion _____

Checklist:

_____ Letter from applicant requesting promotion and/or tenure with an updated vita and other supporting documents on file with Unit Head by 12/01

_____ Letter of recommendation from school/dean/division chair/library director due to VCAA by 12/15

_____ Faculty Promotion Committee Selection Form due to VCAA by 12/15

_____ Recommendation from all tenure-track faculty in unit due to VCAA by 12/15

_____ Updated curriculum vitae (See Curriculum Vita format section.)

_____ Current and previous Faculty Self-Evaluations

_____ Evaluation(s) by school/dean/division chair/library director

_____ Documentation of effective teaching
 _____ Peer observations and evaluations
 _____ Revised syllabi
 _____ Student evaluations
 _____ Other appropriate materials

_____ Documentation of scholarship, research, and creative activities
 Complete bibliographic citations are satisfactory.
 Additional information may be requested.

_____ Documentation of service
 _____ Service to the university
 _____ Service to the community
 _____ Service to the profession

_____ Documentation of professional renewal
 _____ Description of short-term goals
 _____ Description of long-range plans
 _____ Description of steps completed in professional renewal

The candidate should submit a promotion/tenure file that is complete, concise, orderly, and neat. The primary Promotion and Tenure Portfolio should normally not be larger than a standard 8 1/2 x 11" x 3" binder.

If the candidate wishes, an Appendix Portfolio with supplemental material may be submitted. If necessary, promotion and tenure reviewers may request additional information and/or verification documents from candidates.

It is recommended that the candidate review a Promotion and Tenure Portfolio of a UAM colleague who has been recently promoted and/or tenured.

FORMAT TO BE USED IN PREPARING CURRICULUM VITA

- I. Name
- II. Post-secondary education history
 Name of Institution Years Attended Degrees Granted
- III. Employment experience (beginning with UAM as present employer)
 Name of Employer Title and Rank Held Dates
- IV. Titles of Thesis and Dissertation
- V. Professional development
- A. Significant attendance at and participation in professional meetings (papers given presentations, etc.)
 - B. Workshops and institutes attended for the purposes of professional development
 - C. Publications (those which were referred should be asterisked, and copies must be attached and will be returned)
 - D. Professional Consulting Opportunities
- VI. Professional recognition, honors, grants
- VII. Professional service
- A. To the UAM community
 - B. To the public
 - C. To the profession
- VIII. Other information relevant to candidacy

APPENDIX C – Annual Evaluation Procedures and Forms

Annual Evaluation Timetables by Faculty Category

Annual Evaluation Course of Action

Annual Faculty Evaluation Procedures

Annual Faculty Evaluation by Faculty Peer or Chair/Dean/Director

Form Annual Faculty Self Evaluation Form

ANNUAL EVALUATION TIMETABLES BY FACULTY CATEGORY

<u>Category I</u>	<u>Category II</u>	<u>Category III</u>	
Oct. 1	Oct. 1	Oct. 1	Unit Head notifies faculty on annual evaluation process and timetable. *
Nov. 15	Oct. 15	Dec. 1	Completed Faculty Self-Evaluations submitted to the Unit Head.
Dec. 1	Nov. 1	Dec. 15	Peer evaluations submitted to the Unit Head. *
Dec. 4	Nov. 4	Dec. 18	Completed peer evaluations returned to individual faculty.
Jan. 25	Nov. 22	Feb. 20	Unit Head conducts evaluations and faculty consultations. Individual faculty must receive the tentative evaluation at least one day prior to the consultation.
Feb. 1	Dec. 1	Feb. 28	Unit Head submits evaluation and supporting material to VCAA. Optional faculty written rebuttal to VCAA.
Feb. 24	Dec. 10	Mar. 10	Faculty notified of final evaluation and current information placed in permanent faculty file.

Deadlines which fall on a weekend or vacation day are extended to the next working day.

Category I	Tenure track faculty in the first year of service. Notice of non-reappointment is due by March 1.
Category II	Tenure track faculty in the second year of service. Notice of non-reappointment is due by December 15.
Category III	All other faculty. Non-tenure faculty of non-reappointment is due by March 15.

* Teaching represents the unifying mission of the University throughout the faculty and the Academic Units. A minimum of one classroom observation is required per evaluation period, by a peer and/or chair/dean (or designee) for tenure-track faculty and instructors for the first five years of their appointment.

Academic Affairs March 3, 2010

ANNUAL EVALUATION COURSE OF ACTION

- I. Faculty member submits Faculty Self-Evaluation and supporting materials to academic unit head. (A Faculty Self-Evaluation Form is provided)
- II. Academic unit head reviews Self-Evaluation and forwards to peer evaluation committee. (A Peer-Evaluation Form is provided)
- III. Peer evaluation committee members independently complete an assessment and return signed evaluations and supporting materials to the academic unit head.
- IV. Academic unit head reviews Faculty Self-Evaluations and supporting materials, peer evaluations, results of student evaluations, and prepares the tentative evaluation. (A Faculty Evaluation Form is provided)
 - A. Faculty shall have access to their peer evaluations and the academic unit head's tentative evaluations before consultations.
 - B. Unit head meets with each faculty member to discuss all issues relating to evaluation.
 - C. An opportunity is provided for faculty to submit written responses.
- V. Academic unit head forwards final evaluations and all supporting materials to the Vice Chancellor for Academic Affairs (VCAA).
 - A. VCAA reviews each evaluation and completes final assessment.
 - B. VCAA sends copy of final evaluation to each faculty member.
- VI. The Faculty Self-Evaluation, peer, student, academic unit head, and VCAA's evaluations, and all written responses provided by the faculty to any of the evaluations, will be filed in each faculty member's permanent file.

ANNUAL FACULTY EVALUATION PROCEDURES **at the University of Arkansas at Monticello**

The Arkansas Department of Higher Education requires the University of Arkansas at Monticello to submit an institutional report on the Annual Review of Faculty Performance.

Arkansas Code Annotated §6-63-104 and Arkansas Higher Education Coordinating Board (AHECB) policy 5.5 require that each college and university conduct an annual performance review of faculty members. Pursuant to this statute, Arkansas Department of Higher Education (ADHE) staff is required to monitor the faculty evaluation processes adopted at public institutions, and make a report to the Coordinating Board and Legislative Council each year. Each institution must have on file with ADHE a plan detailing the procedures for faculty evaluation at each institution. Significant amendments to these plans are to be submitted for Board approval. For additional information: https://static.ark.org/eeuploads/adhe/01_-_Faculty_Performance_Review_Report_2018.pdf

Introduction

As discussed in the UAM Faculty Handbook, the annual review of each faculty member shall provide the primary basis for the academic unit head's recommendations relating to merit salary adjustments, successive appointment for non-tenured faculty, promotion and tenure. Furthermore, this annual review is to provide guidance and assistance to all faculty in their professional development and academic responsibilities in the areas of (1) teaching, (2) service, (3) scholarship and (4) professional renewal. See Chapter Three for an explanation of the criteria for these four areas.

Teaching

Teaching is the primary duty of most UAM faculty and it is essential that quality teaching be encouraged, recognized, and rewarded. Teaching may be defined in terms of providing for student learning in a variety of ways, including classroom or clinical instruction, team teaching, independent study or research supervision, multi-disciplinary teaching activities, course preparation and teaching strategies.

Service

Service is defined in terms of service to the university, the profession, and the community, and may include activities such as work on university, departmental and professional committees; discipline-related community involvement; university, departmental, professional and administrative service; curriculum development; student advising and recruitment; direction of in-service education courses or programs; and public relations.

Professional Growth (Scholarship) and Development (Renewal)

Professional Growth and Development is defined in terms of those activities and work products that contribute to the professional growth of the faculty member and the academic discipline. Activities in this category may include, but are not limited to, active participation in and/or recognition by professional organizations; attendance at, participation in or sponsorship of workshops, institutes, symposia and conferences; research activities; writing grant proposals; receiving grant funds; publications; continuing academic preparation; and participation in professional activities external to the university which enhance performance in assigned responsibilities (examples include, editing, consulting, and clinical practice). In fields where appropriate, performances, concerts, exhibitions, and other creative endeavors contribute to professional growth and development.

The Evaluations

PROBATIONARY FACULTY

Tenure-track faculty prior to receiving tenure and non-tenure-track faculty in their first six years of service will follow the following procedures. Teaching represents the unifying mission of the university throughout the faculty and the academic units.

Student Evaluation

The role of student evaluations is twofold: 1) to help the instructor improve the course and 2) to help administrators make more informed judgments about teaching effectiveness when making recommendations about salary, promotion and tenure. Students will assess each course late in the fall and spring semester using UAM's standardized format. Should a faculty member teach multiple sections of the same course during the year, departmental faculty shall decide if all sections of that course shall be evaluated. After all campus grades are submitted, the results of each evaluation will be sent to the academic unit head. These results will then be distributed to the individual faculty member.

Faculty Self-Evaluation

The role of the Faculty Self-Evaluation (using the standardized format) is to present the faculty member's accomplishments of the previous year. This Faculty Self-Evaluation will be used for peer and administrative evaluations. It is the duty of each faculty member to demonstrate effective performance, as determined by departmental criteria, in all three (3) areas, and it is advisable to include as much detail as necessary for a fair and objective appraisal. Emphasis should be placed on the period since the last evaluation, or for new faculty, since employment. If requested, the academic unit head will offer advice concerning formation of the evaluation. If there are legitimate mitigating factors that have limited the faculty member's performance, or if there are contributions to the department or university which are not presented elsewhere, statements should be attached to the Faculty Self-Evaluation which clearly and concisely explain such factors.

Faculty Peer Evaluation

The role of peer assessment is to provide information based on the Faculty Self-Evaluation and familiarity with other documental knowledge. Each faculty member will be evaluated by a committee of at least three peers selected from within the department, if numerically possible. The method of peer selection is to be determined by the faculty of each department, except that the faculty member being evaluated will be allowed to choose at least one member of the committee. In departments with fewer than three faculty members, two additional faculty from other departments will be chosen, one by the academic unit head and one by the faculty member being evaluated. The academic unit head will review each faculty member's submissions and then forward them to the faculty responsible for conducting the peer evaluation. Each member of the evaluation committee will study all documents provided by the faculty member, consulting with the faculty member if necessary, and then submit to the academic unit head a signed, independently-conducted evaluation (using the standardized format).

Academic Unit Head's Evaluation

The academic unit head's role is to review the Faculty Self-Evaluation and supporting materials, in conjunction with the peer evaluations and results of student evaluations, plus any other documental knowledge, and to make recommendations to the Vice Chancellor for Academic Affairs relating to each faculty member concerning: 1) merit salary adjustments, 2) successive appointment for non-tenured faculty, and 3) guidance and assistance concerning the faculty member's professional development and academic responsibilities. The academic unit head will prepare a Faculty Evaluation (using the standardized format). The Head will meet with each faculty member to discuss all issues relating to the evaluation and must provide a copy of the tentative evaluation to the faculty member. Faculty shall have prior access to their peer and tentative evaluations. An opportunity is provided for any faculty member to submit a written response.

Vice Chancellor for Academic Affairs' Evaluation

The role of the Vice Chancellor for Academic Affairs (VCAA) is to review the material submitted and, in consultation with the academic unit head, make the final decision relating to each faculty member concerning:

1) merit salary adjustments, 2) successive appointment for non-tenured faculty, and 3) guidance and assistance concerning the faculty member's professional development and academic responsibilities. The material the VCAA receives will include the academic unit head's final evaluation and all supporting materials (including the Faculty

Self-Evaluation, with all supporting materials and the student and peer evaluations). The VCAA will review each individual's evaluation and then complete the assessment (using the standardized format).

NON-PROBATIONARY FACULTY

Tenured faculty and non-tenure-track faculty who have completed six years of service are required to undergo the full evaluation process at least once every five years. During the interim the evaluation will consist of the following:

Student Evaluation

Faculty will be evaluated by at least one class per year. The course will be chosen by the academic unit head. The faculty member may request an evaluation by additional classes of his/her choice.

Faculty Self-Evaluation

The faculty self-evaluation will consist of an update and/or addendum of relevant activities occurring during the previous year. It will include professional plans for the next year.

Faculty Peer Evaluation

Each faculty member will be evaluated by at least one peer during the year. The peer reviewer will be appointed by the academic unit head. The faculty member may request additional peer reviewers of his/her choice.

Academic Unit Head's and Vice Chancellor for Academic Affairs' Evaluation

The administrative evaluations will consist of an update of the previous evaluation.

Complete Evaluations

A faculty member retains the option to have a full evaluation in any year by notifying the academic unit head by November 15. Any faculty member receiving an Unsatisfactory or Needs Improvement rating on Overall Performance must have a full evaluation the following year. Faculty hired with tenure will submit a partial evaluation during their first semester and a complete evaluation during the second year.

Evaluation Disposition

The academic unit head and VCAA will each provide to the faculty member a copy of their respective final evaluations. The Faculty Self-Evaluation, peer, student, academic unit head, and VCAA's evaluations, and all written responses provided by faculty to any of the evaluations will be filed in each faculty member's permanent file. Since the Annual Faculty Evaluations will also be used in assessing faculty for tenure and promotion, each faculty member's permanent file should contain the Faculty Self-Evaluation and the student, peer and administrative evaluations covering the previous 6 years.

The Process

Utilizing Evaluations

The VCAA, in consultation with the academic unit head, will make the final decision relating to: 1) merit salary adjustments, 2) successive appointment for non-tenured faculty, and 3) guidance and assistance to each faculty member concerning professional development and academic responsibilities. Faculty who receive "needs improvement" or "unsatisfactory" assessments in the categories of teaching, service, scholarship and professional renewal will be required to work with their academic unit head to address the deficiencies before the next annual evaluation. Non-tenured faculty who receive non-reappointment or dismissal notices will also work with their academic unit head to complete their present assignments satisfactorily.

Monitoring, Evaluating and Updating

Should individual faculty or administrators deem the process to be ineffective or unfair, they should submit a signed, written report to the Chair of the Faculty Council detailing the problems and recommending solutions. The Chair of the Faculty Council will then study all reports and seek counsel with Officers of the Academic Council and Faculty Council. If the problems are verifiable, the Chair will convene an ad hoc committee of the Faculty Council to assess the problems and recommend solutions to the Faculty Council prior to the end of the spring semester. The Chair will submit a written response to all individuals initiating reports.

Annual Faculty Evaluation by Faculty Peer or Chair/Dean/Director

Faculty Member: _____ Rank: _____

Division/School/Library: _____

Faculty Peer/Chair/Dean/Director: _____

Evaluation Period: _____ Date: _____

Background, Instructions & Guidelines: Annual evaluation provides the basis for recommendations relating to salary, successive appointment, promotion and tenure. Annual evaluation also provides for guidance to faculty in their professional development and academic responsibilities.

1. Teaching (See Faculty Handbook Chapter 3; Appendix C)

_____ Excellent; _____ Good; _____ Satisfactory; _____ Needs Improvement; _____ Unsatisfactory

Check all that apply.

- Classroom observation;
 Faculty self-evaluation;
 Student evaluation;
 Peer evaluation;
 Other (specify)

Add narrative statement in space below and add additional sheets if necessary describing strengths/improvement areas.

2. Scholarship (See Faculty Handbook Chapter 3; Appendix C)

_____ Excellent; _____ Good; _____ Satisfactory; _____ Needs Improvement; _____ Unsatisfactory

Add narrative statement in space below and add additional sheets if necessary describing strengths/improvement areas.

3. Service (See Faculty Handbook Chapter 3; Appendix C)

_____ Excellent; _____ Good; _____ Satisfactory; _____ Needs Improvement; _____ Unsatisfactory

Add narrative statement in space below and add additional sheets if necessary describing strengths/improvement areas.

4. Professional Renewal (See Faculty Handbook Chapter 3; Appendix C)

_____ Excellent; _____ Good; _____ Satisfactory; _____ Needs Improvement; _____ Unsatisfactory

Add narrative statement in space below and add additional sheets if necessary describing strengths/improvement areas.

5. Overall Performance.

_____ Excellent; _____ Good; _____ Satisfactory; _____ Needs Improvement; _____ Unsatisfactory

Add narrative statement in space below and add additional sheets if necessary describing strengths/improvement areas.

1. **Teaching:**

2. **Scholarship:**

3. **Service:**

4. **Professional Renewal:**

5. **Overall Performance:**

Signature Section:

Faculty Member: _____ Date: _____

Dean/Chair/Director: _____ Date: _____

The above signatures signify that this evaluation has been read by the faculty member and discussed with the academic unit head. The signatures do not mean that the evaluated member is in total agreement with the results of the evaluation.

The Vice Chancellor for Academic Affairs may choose to provide comments in the space below on the above evaluation:

Vice Chancellor for Academic Affairs Signature: _____

Date: _____

FACULTY SELF-EVALUATION FORM

Name _____ Department _____

Rank _____ Date _____

The activities described below have all occurred in the calendar year _____ except as noted.

I. Teaching

- A. How do you communicate course objectives to your students? How do your examinations and other student evaluations reflect these objectives? (Please provide documentation.)
- B. Demonstrate how your courses comply with departmental expectations, e.g. if your course is a prerequisite for another course; provide evidence that students are adequately prepared to progress.
- C. Describe how you require students to “learn outside the classroom.” Do you require research, outside projects, or interdisciplinary assignments, etc.?
- D. What activities do you require of your students which are designed to improve their (1) oral and written communication skills, and (2) quantitative and problem-solving skills?
- E. Describe how you have modified and/or improved your courses during this past year. (Please provide documentation.)
- F. Do you serve as an academic advisor? If yes, for which program do you advise? How many advisees do you advise? What do you do to ensure that your advisees are receiving good advice?
- G. In summary, what has been your greatest contribution as an instructor during this past year?
- H. List any other contribution to teaching not mentioned above.
- I. List all agencies/programs to which you have submitted proposals for the funding of instructional programs.

II. Scholarly Activity and Professional Development

- A. List all publications during this period. Provide separate bibliographic listings for refereed and non-refereed publications.
- B. Describe any off-campus duty assignments, courses taken, workshops attended, etc.
- C. List all presentations to professional organizations.
- D. Describe any professional consulting activity during this period.
- E. Research Support. List all proposals funded by:
 - 1. UAM
 - 2. External agencies
 - 3. Proposed
- F. In what other professional development activities have you engaged during this period?

III. Service

- A. Institutional
Describe your on-campus service activities, e.g. committee membership, sponsoring student groups, etc.
- B. Professional
 1. List professional organizations of which you are a member. Describe your contributions to these groups during this period, e.g. offices held, committee memberships, etc.
 2. Describe your professional contributions to the community. Do not include church or civic club membership, etc.
- C. Describe any professional service activities not been listed above.

IV. Plan for Improvement (to be accomplished prior to next faculty evaluation)

- A. Teaching
- B. Research
- C. Service

APPENDIX D – Hornaday Outstanding Faculty Award

HORNADAY OUTSTANDING FACUTLY AWARD

The Hornaday award was created in 2010 through an endowment funded by a donation from Charlotte Cruce and Dan Hornaday. Both of the Hornadays are graduates of Arkansas A&M and have many fond memories of the outstanding faculty that mentored and advised them through graduation and on to very successful careers with Exxon. Earnings from the investment of the principal of the endowment are used annually to provide a recognition certificate and a cash award to the recipient.

The **Hornaday Outstanding Faculty Award** provides a monetary award to recognize and reward faculty excellence. The award consists of a cash gift and a certificate. One award may be given annually. Finalists for the award will receive a certificate.

- I. Nature of Award – The Hornaday Outstanding Faculty Award recognizes an individual who demonstrates excellence in the areas of teaching, scholarship, and service.
 - A. *Excellence in Teaching*: To recognize, encourage, and reward superior teachers whose command of their respective disciplines, teaching methodologies, communications skills, concern for student performance, and commitment to the learning process exemplify the teacher/mentor model. More than a popularity contest, it distinguishes those who maintain high expectations of their students and who ensure academic rigor in their courses.
 - B. *Excellence in Research and Scholarship*: To recognize, encourage, and reward those individuals whose research, scholarship, and creative efforts have been particularly successful and are so recognized locally, regionally, and/or nationally. The results of these efforts should have contributed to the expansion of knowledge and/or the quality of life, and/or encouraged additional research.
 - C. *Excellence in Public Service*: To recognize, encourage, and reward those individuals who have brought credit to the University of Arkansas at Monticello through their successful efforts in service to the community, state, or nation in areas of public interest. Their achievements in serving the public interest should have been particularly successful and should have been recognized locally, regionally, and/or nationally.
- II. Number and Frequency of Award
 - A. There may be one award presented annually.
- III. Selection
 - A. Eligibility
 1. Persons with faculty status as defined in the current faculty handbook, holding full-time appointments, evaluated annually, and teaching at least 12 hours annually may be nominated.
 2. Faculty with administrative responsibilities are ineligible.
 3. Award recipients will not be eligible to receive the award for the following five years.

B. Nominations

1. Faculty considered for the award shall be identified through a nomination.
2. Any member of the University community -- faculty, administration, staff, students, and alumni -- may nominate a faculty member.
3. Nominations should include the nominee's name, a nomination statement, the nominator's name and/or signature.
4. Nominations may be submitted either in writing or by electronic submission.

IV. Procedure

A. Administration of the award process

1. Administrative support for the award process shall be the responsibility of the Office of the Chancellor.

B. Solicitations of nominations

1. The Chancellor shall call for nominations at the first of February and collect all nominations received during the month.

C. Administration of the judging process

1. Nomination Committee

A. The Nomination Committee will consist of four members:

- A student appointed by the SGA president
- The faculty member receiving the Hornaday Outstanding Faculty Award from two years previous, who also serves as convener/chair
- A member of the administration chosen by the Chancellor
- A faculty member appointed by the Faculty Assembly Chair.

B. By the end of March, the Nomination Committee will submit up to five Hornaday Outstanding Faculty Award nominees to the Selection Committee.

C. The Nomination Committee will use nomination statements plus Faculty Self-Evaluations from up to the past three years.

2. Selection Committee

A. The Selection Committee will select the Hornaday Outstanding Faculty Award winner.

B. The Selection Committee will consist of three members:

- The previous year's Hornaday Outstanding Faculty Award winner, who also serves as the convener/chair
- Two faculty members selected from the academic schools

C. In addition to the nomination statements and Faculty Self-Evaluations, the Selection Committee will use reviews by students, peers, and deans. Faculty will approve evaluation

reviews by indicating a checkbox on dean evaluations.

- D. By the end of April, the Selection Committee will determine the Hornaday Outstanding Faculty Award winner.

Committee Notes: No members of the committees should be from the same school. Faculty membership on both committees should be rotated. If deemed necessary, more committee members may be appointed. Committee members will include teaching, service, and scholarship in their evaluation of candidates. No members of either committee will be eligible for the award during time of service on the committees.

V. Announcement of winners

The Chancellor shall recognize the Hornaday Outstanding Faculty Award winner at UAM's spring commencement, and also recognize both the winner and finalists during Professional Development Week at the beginning of the fall semester of each academic year.

Revised April 2010

Revised June 2003

Revised March 1996

APPENDIX E – Universitywide Administrative Policies and Board Policies

OUTSIDE EMPLOYMENT OF FACULTY & ADMINISTRATIVE STAFF MEMBERS FOR
COMPENSATION
BOARD POLICY 450.1

VOLUNTARY EARLY RETIREMENT PROGRAM FOR TENURED FACULTY
BOARD POLICY 425.6

EXTRA COMPENSATION POLICY
UA SYSTEMWIDE POLICIES AND PROCEDURES (UASP) 440.2

COMPENSATION FOR TEACHING ONLINE CLASSES
UAM OPERATING PROCEDURE 440.2

GARNISHMENT AND SALARY LIENS
UA SYSTEMWIDE POLICIES AND PROCEDURES (UASP) 440.9

STUDENT EDUCATION RECORDS
UA SYSTEMWIDE POLICIES AND PROCEDURES (UASP) 515.1

RESTRICTING/RELEASING STUDENT EDUCATION RECORDS
UAM OPERATING PROCEDURE 545.1

FRAUD POLICY
BOARD POLICY 350.1

USE OF ROOFS AND EXTERIOR WALLS OF BUILDINGS
UA SYSTEMWIDE POLICIES AND PROCEDURES (UASP 720.1)

**OUTSIDE EMPLOYMENT OF FACULTY AND NON-CLASSIFIED STAFF MEMBERS FOR COMPENSATION;
CONCURRENT EMPLOYMENT (Board Policy 450.1)**

While emphasizing the fact that full-time faculty and non-classified staff members (including, but not limited to, senior administrators) of the University are obligated to devote their working time and efforts primarily to University activities, the University recognizes that a limited amount of outside work for private compensation may be advantageous to all concerned. Such persons are therefore encouraged to engage in outside employment which will affirmatively contribute to their professional advancement or correlate usefully with their University work. This employment shall not interfere in any substantial way with the employee's University duties nor conflict with his/her University assignments.

Written approval from department head and/or dean shall be obtained in advance of such outside employment. Each dean or similar officer shall keep records on outside employment by personnel in his/her college or administrative unit and shall prepare an annual report on such outside employment. The report should include actual time spent during the reporting period. Such records shall be reviewed periodically by the appropriate administrators and shall be submitted to the Chancellor, Vice President for Agriculture, or chief executive officer for the unit (or a designee who is a senior administrator) by September 30 of each year.

It is the employee's responsibility to make clear that, with respect to the outside employment, he/she is not acting as an agent or representative of the University. University facilities or property shall not be used except with permission of the department head or dean, taking into account the best interests of the University, and the payment of appropriate fees may be required. Prior approval is also required for concurrent employment with another university unit or state agency, pursuant to Arkansas Code Ann. § 19-4-1604 & Arkansas Code Ann. § 6-63-307.

March 30, 2016 (Revised)
September 26, 1997 (Revised)
June 11, 1993 (Corrected)
April 30, 1993 (Revised)
June 15, 1990 (Revised)
January 15, 1988 (Revised)
June 19, 1958 (Revised)
June 5, 1916

VOLUNTARY RETIREMENT INCENTIVES FOR TENURED FACULTY (Board Policy 425.6)

I. PROGRAM DESCRIPTION

The Board of Trustees is authorized by Arkansas law⁴ to offer voluntary retirement incentives (“Program Incentives”) to tenured faculty members in order to effect a net savings in personnel costs. An employee’s participation in the University of Arkansas Voluntary Early Retirement Incentives Program for Tenured Faculty (the “Program”) is optional and may not be mandated. Likewise, the decision to grant or withhold Program Incentives is at the discretion of the Board.

Only tenured faculty members of a campus, unit or division of the University of Arkansas are eligible for Program Incentives under this policy. Program Incentives may be made available when a savings to the University can be demonstrated and the terms and circumstances of the proposed retirement would not be detrimental to the University or its programs, or to the department, campus or unit from which the individual is retiring. A retirement agreement and the Program Incentives will be evidenced by a written agreement (the “Program Agreement”) which includes the faculty member’s immediate retirement and relinquishment of tenure.

Each Program Agreement is subject to Board approval and shall be on a standard form approved by the General Counsel of the University.

II. MINIMUM REQUIREMENTS

To be eligible for Program Incentives, a tenured faculty member must meet the following minimum requirements:

- A. May not be on leave-without-pay, receiving long-term disability benefits, or receiving workers’-compensation benefits for total disability, unless applicable law restricts or forbids consideration of one of these requirements;
- B. Is age 55 or older on the effective date of the Program Agreement; and
- C. Has at least 15 years of continuous service in a tenured or tenure track faculty position with the University of Arkansas or the University of Arkansas System Office on the effective date of the Program Agreement.

The following apply to the determination of whether the minimum requirements are met:

“Tenured or tenure track faculty position” shall have the meaning assigned in the Board Policy 405.1. For purposes of the Program, individuals who held a tenured faculty position prior to or contemporaneous with the assumption of administrative duties such as in connection with the positions of President or other System administrator, Chancellor, Vice Chancellor for Academic Affairs, Dean, or Department Head/Chair, and who continue to hold tenure throughout their employment as administrators, shall

⁴ Ark Code Ann § 24-7-101

be considered as holding a tenured or tenure track faculty position during such period of administrative service.

“Years of service” will be calculated in whole year increments. Service time in leave-without-pay status will not be counted in computing years of service. In the case of an individual on a twelve-month appointment, fractions of years of service that are six months or less will be rounded down to the next lowest full year of service, and fractions of years of service that are greater than six months will be rounded up to the next highest year of service. In the case of an individual on less than a 12-month appointment, years of service will be calculated with the fall and spring semester each representing half a year.

“Service . . . with the University of Arkansas” means service at any of the campuses, units or divisions of the University of Arkansas or at the University of Arkansas System Office.

Service time spent in an authorized off campus duty assignment is counted in computing continuous years of service.

Authorized leave-without-pay status is not a break in continuity of service unless at the time leave begins the faculty member has accumulated a combined total of more than three years of authorized leave without pay during the immediately preceding 15 years of service.

III. PROGRAM REQUIREMENTS

Program Incentives are only available when the proposed Program Agreement will provide a net savings in personnel costs within seven years of the effective date of the Program Agreement. Net savings in personnel costs will be determined by aggregating the annual cost savings for each year of the seven-year period.

- A. Annual cost savings for each year will be calculated using the following formula:

Annual cost savings = Retention Cost - (Retirement Cost + Replacement Cost). For purposes of this calculation:

“Retirement Cost” means the cost of all employee compensation and any other benefits to be paid under the Program Agreement, plus the anticipated cost of compensation, benefits and other employment related costs for future part-time teaching or research of the retiring faculty member.

If the retiring faculty member proposes to continue in or return to employment in any capacity with the University at any time during the seven years immediately following retirement, the proposed work schedule and duty assignments must be identified when calculating Retirement Cost.

If the retiring faculty member proposes to continue in or return to employment in any capacity with the University at any time during the seven years immediately following retirement, the proposed work schedule and duty assignments must be identified when calculating Retirement Cost.

“Replacement Cost” means the estimated salary, fringe benefits and other employment related costs of the individual or individuals who will be employed to fill the position or responsibilities of the retiring faculty member;

“Retention cost” means the current annual salary and fringe benefits cost of the retiring faculty member, including any increases in salary or fringe benefits approved prior to the effective date of a Program Agreement.

IV. AVAILABLE INCENTIVES

- A. The value of incentives that can be received under a Program Agreement may not exceed the lesser of the current annual salary of the retiring faculty member or the amount of the net savings in personnel costs. The faculty member’s current annual salary shall be based upon the academic year (for faculty members on less than a 12-month appointment) or fiscal year (for faculty members on twelve-month appointment).
- B. Available benefits may take several forms including, but not limited to:
- i. Stipend without requiring work;
 - ii. Wages for part-time work, not exceeding 19 hours per week, provided such employment is not prohibited by law;⁵
 - iii. Contribution to the faculty member’s account in the University of Arkansas 403(B) Retirement Plan;
 - iv. Eligibility for continued participation in such University benefits programs as are available to similarly situated retirees;
 - v. Payment to the faculty member for the cost or some portion of the cost of the faculty member’s participation in the University’s available retiree benefit programs. Payment will be based upon the University’s costs of such program.
- C. Any return to employment with any campus, unit or division of the University not specifically identified in the Program Agreement requires the written approval of the President of the University.

⁵ Wages for part-time work are included in Retirement Cost when calculating Annual Cost Savings.

V. VOLUNTARY RETIREMENT INCENTIVE PROGRAM PROCEDURES AND APPROVAL

- A. Any tenured faculty member meeting the minimum qualifications listed in this Policy may request participation in the Program. The request must be submitted in writing by the faculty member to the head of the faculty member's department or unit. Each campus will be responsible for developing and informing faculty of a time schedule for submission of voluntary retirement incentive requests.
- B. The terms of the proposed Program Agreement (which must be consistent with this policy) should be discussed between the faculty member and the head of the faculty member's department or unit. Each campus, unit or division may also designate one or more individuals to consult with the faculty member in evaluating the Program Agreement. The designated campus, unit or division representative is not authorized to furnish legal, tax or other professional advice to the faculty member.
- C. In developing the Program Agreement each faculty member must be apprised of any rights under the Age Discrimination in Employment Act and the Older Worker's Benefit Protection Act, and must be advised to seek the advice and counsel of attorneys, accountants, tax professionals and others who can provide the faculty member with information to assist in making an informed decision. In all cases, the faculty member shall be given at least 45 days to consider participation in the Program, unless the faculty member waives this requirement in writing. Waivers shall be in a standard form approved by the General Counsel of the University.
- D. If the faculty member and the head of the faculty member's department or unit agree on an voluntary retirement incentive request that is consistent with this policy, a Program Agreement in a standard form approved by the University's General Counsel shall be completed and forwarded for approval through the unit's administrative channels, together with a letter of recommendation from the appropriate Chancellor or Chief Executive Officer, to the President of the University. Each Program Agreement must be accompanied by:
 - i. A statement signed by the requesting faculty member assuring University officials that the faculty member's participation in the Program is voluntary; and
 - ii. A voluntary retirement incentive "early retirement worksheet," in a form substantially corresponding to the form attached to this policy.
- E. Each Program Agreement must be approved by the Board prior to the effective date of retirement of the faculty member.

VI. SPECIAL CAMPUS PROGRAM – APPROVAL BY PRESIDENT

The Chancellor or Chief Executive Officer of any campus, unit or division may submit for the President's approval a proposal for a special voluntary retirement incentive program applicable only to tenured faculty members at that campus, unit or division. Such a proposal may provide for benefits or incentives for a limited period of time beyond the benefits set forth in this policy. The proposal may also modify the eligibility criteria described in this policy and may include an option for relinquishment of tenure under a phased retirement agreement whereby the faculty member reduces workload over a period of not more than three years. Incentive payments for a phased retirement proposal may include special allowances and/or payment for all or a portion of insurance coverages. Any such proposal must be consistent with Board Policy and applicable law, must meet the general purposes set forth in this policy, and must be justified by the Chancellor or Chief Executive Officer of any campus, division or unit with such substantiation as the President might direct.

November 22, 2019

WORKSHEET FOR VOLUNTARY RETIREMENT INCENTIVES

NAME: _____ BIRTHDATE: _____

POSITION & DEPARTMENT: _____

DATE OF EMPLOYMENT: _____ DATE OF RETIREMENT: _____

YEARS ON APPOINTMENT: _____ AGE AT RETIREMENT: _____

CURRENT APPOINTMENT Period (9 or 12 months): _____ SALARY (Current Year) : _____

COSTS AND SAVINGS								
		YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7
RETENTION COST:								
Salary								
Benefits								
TOTAL COST								
RETIREMENT COSTS:								
Salary								
Benefits								
Other								
TOTAL COST								
REPLACEMENT COSTS:								
Salary								
Benefits								
TOTAL COSTS								
COST SAVINGS								

VOLUNTARY EARLY RETIREMENT AGREEMENT

This Agreement is entered into by and between _____, a member of the faculty of the University of Arkansas at its _____ campus, and the Board of Trustees of the University of Arkansas, on this _____ day of _____, 20_____.

_____ states:

That he/she has been a member of the faculty of the University of Arkansas since _____, currently holds the rank of _____, and is tenured in that position under policies of the Board of Trustees.

That he/she is not on leave-without-pay status, receiving long-term disability insurance benefits, or receiving workers' compensation benefits;

That on his/her own initiative, he/she has sought an agreement for early retirement pursuant to Arkansas Code Annotated §24-7-101 and Universitywide Administrative Memorandum 430.2;

That he/she has been apprised of his/her rights under the Age Discrimination in Employment Act as amended;

That he/she has been advised and has had the opportunity to seek the advice and counsel of attorneys, accountants, and others who could aid him/her in making an informed decision regarding the early retirement program;

That he/she has been given at least 45 days to consider his/her participation in the program; and

That he/she voluntarily does hereby resign his/her position as a tenured _____ effective _____, recognizing and acknowledging that all rights and obligations as a tenured faculty member will then end.

In consideration for the resignation as a tenured faculty member as described above, the Board of Trustees of the University of Arkansas hereby accepts such voluntary resignation and in consideration thereof agrees to provide the following:

- (1)

- (2)

- (3)

EARLY RETIREMENT WORKSHEET

NAME: _____ BIRTHDATE: _____

POSITION & DEPARTMENT: _____

DATE OF EMPLOYMENT: _____ DATE OF RETIREMENT: _____

YEARS ON APPOINTMENT: _____ AGE AT RETIREMENT: _____

CURRENT APPOINTMENT PERIOD (9 or 12 months) _____ SALARY (Current Year): _____

COSTS AND SAVINGS								
		YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7
RETENTION COST:								
Salary								
Benefits								
TOTAL COST								
RETIREMENT COSTS:								
Salary								
Benefits								
Other								
TOTAL COST								
REPLACEMENT COSTS:								
Salary								
Benefits								
TOTAL COSTS								
COST SAVINGS								

STATEMENT OF ASSURANCE

By my signature below, I, _____ do hereby assure the members of the Board of Trustees of the University of Arkansas that I have voluntarily sought participation in the University of Arkansas’ Voluntary Early Retirement Program for Tenured Faculty, that I have been apprised of my rights under the Age Discrimination in Employment Act, and that I have been advised and have had the opportunity to seek the advice and counsel of attorneys, accountants and others who might assist me in making an informed decision concerning the Program.

Faculty Member

Date

Witness

Date

VOLUNTARY EARLY RETIREMENT PROGRAM

WAIVER OF 45 DAY CONSIDERATION

I, _____, hereby waive the 45-day period for consideration of the terms of and my participation in the voluntary early retirement program for the University of Arkansas. I further state that:

I have voluntarily sought this agreement on my own initiative;

I have been apprised of my rights under the Age Discrimination in Employment act; and

I have been advised and have had the opportunity to seek the advice and counsel of attorneys, accountants, and others who could aide me in making an informed decision regarding the terms of my early retirement agreement.

Faculty Member

Date

EXTRA COMPENSATION FOR FACULTY, NON-CLASSIFIED OR CLASSIFIED, EXEMPT EMPLOYEES
(UA Systemwide Policies and Procedures (UASP) 440.2)

The salary or other regular compensation of a full-time employee of the University is intended as compensation for all regularly assigned activities performed for or in the name of the University. However, an employee may be called upon from time to time to perform additional tasks over and above regularly assigned duties for which he or she may receive extra compensation. In accordance with state law and University policy, the following requirements and restrictions apply to the payment of extra compensation to faculty, non-classified, or classified, exempt employees:¹

1. Faculty, non-classified, or classified, exempt employees are eligible for extra compensation, with the exception of those employees with titles of dean, vice chancellor, chancellor or chief executive officer for each campus, division or unit. An employee's dean or supervisor must certify that the employee is working full time, or 100%, during the activity period for which extra compensation is being recommended.
2. The work for extra compensation shall not interfere with the regular duties of the individual, as certified by the dean or unit head. Unless specifically authorized by the dean or unit head, no employee shall receive extra compensation, unless the duties are performed outside the normal work schedule or annual leave is taken for preparing and conducting said activities. For example, but not by way of limitation, full-time employees may teach for extra compensation provided preparation for and time in class fall outside their regular work schedules.
3. The request for extra compensation must be approved prior to performance of the work.
4. State grant funds or federal funds may not be used to pay extra compensation unless specifically authorized by the sponsoring agency.
5. Extra compensation for an employee must be consistent with any applicable state and federal laws and regulations and with any applicable accreditation standards or criteria.
6. Extra compensation must not result in a conflict of interest.
7. University funds will not be used for extra compensation for speeches, public appearances, etc., which are civic, public relations, or development activities.
8. University funds will not be used for extra compensation for such scholarly activities as research, research consultation and collaboration, or creative works considered part of normal faculty duties.
9. An employee's total compensation, for a year or for a month, including extra compensation, shall not exceed the line- item maximum (LIM) salary for the position, subject to the exceptions set forth in Ark. Code Ann. § 6-63-303 (for overload teaching), § 6-63-309, § 664-305, and subject to the provision below regarding private funds. Further, the maximum amount which may be paid to an employee as extra compensation is twenty (20) percent of his/her annual salary, unless authorized by the President. A change of title will not be approved in order to pay an individual above his/her existing line item maximum.

¹ Classified, non-exempt employees are not eligible for extra compensation under this policy. This policy does not address the payment of additional compensation to classified employees for the performance of additional duties assigned to them at non-job-related institution-sanctioned events, as permitted under Ark. Code Ann. § 6-63-306

10. To the extent an employee exceeds 125% of annual LIM with extra compensation, then the compensation must be paid through private funds and the request for exemption must be approved by the chancellor or chief executive officer for each campus, division or unit, vice chancellor for academic affairs, the President of the University of Arkansas System, and the Board of Trustees.
11. Unless authorized by the President, senior administrators, as defined by the chancellor or chief executive officer for each campus, division or unit, shall not be eligible for extra compensation for teaching a class or performing other duties for the University.
12. Stipends for extra compensation must be authorized to be paid at the regular payroll period for the time period in which it is earned.

Procedures

Subject to any additional approval or reporting process provided for by statute:

Each campus or unit within the University of Arkansas shall establish procedures to process recommendations for extra compensation, which shall include approval (or disapproval) by the chancellor or chief executive officer for each campus, division or unit.

Each campus or unit will monitor extra compensation for conformity to the requirements of this policy and applicable law, and shall maintain information regarding extra compensation for an annual report.

Exceptions to the provisions of this policy or delegations of approval authority will require the approval of the President.

April 29, 2016

COMPENSATION FOR TEACHING ONLINE CLASSES (UAM Operating Procedure 440.2)

Faculty will receive incentive pay of \$1800 for the development and teaching of their first online course. After receipt of the initial incentive pay for a course, an instructor will receive incentive pay of \$300 for each new online course developed and taught for the first time.

Academic Unit Heads are responsible for maintaining records to determine if faculty have received incentive pay for teaching online courses in the past. Consideration for incentive pay for new online course development/teaching for individuals not holding faculty rank must be approved by the dean of the unit in which the course is taught and by the Vice Chancellor of Academic Affairs.

April 11, 2002

Revised: November 2005

Revised: July 1, 2011

Revised: February 23, 2017

GARNISHMENT AND SALARY LIENS (UA Systemwide Policies and Procedures 440.9)

Any University employee is legally subject to having wages, and/or other amounts due from the University, seized by a court order of garnishment or by a governmental lien. The University is required to comply with an order of garnishment only where it is issued after a legal judgment has been entered against the employee-debtor. Governmental liens such as those arising from claims for unpaid taxes and from bankruptcy claims must also be honored.

When the University receives such court order or lien, it must pay over the appropriate amount to the clerk of the court or to the governmental agency. An employee's defenses should be made to the court or governmental agency.

Because a substantial amount of administrative time and expense is involved for the University in processing such court orders and liens and because employees are expected to manage their financial obligations in a manner that does not bring discredit to the University, the University has a concern whenever such an order is issued against an employee and served upon the University. Repeated incidents of default in payments or the like for a University employee resulting in an order of garnishment and/or salary lien may be cause for dismissal.

Each campus shall establish procedures for processing any garnishment or salary lien in a timely manner and in accordance with statutory requirements and court orders.

April 29, 2016

STUDENT EDUCATION RECORD AND THE FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA) (UA Systemwide Policies and Procedures (UASP) 515.1)

Each campus or unit of the University of Arkansas shall comply with the Family Educational Rights and Privacy Act (FERPA), as amended, 20 U.S.C. § 1232g, and its implementing regulations codified in Title 34, Part 99 of the Code of Federal Regulations.

This policy summarizes the requirements of FERPA and shall apply if the campus has not adopted its own FERPA policy. If the campus has adopted its own FERPA policy, this policy supplements the campus policy as needed, although each campus must furnish an annual FERPA notice to students as provided herein.

Campus policies may vary somewhat, including with regard to designation of directory information, provided that all elements shall be consistent with FERPA and its regulations. The FERPA regulations may be found online at: <http://www2.ed.gov/policy/gen/guid/fpco/index.html>

Various forms are attached to the policy, for information and guidance only. Use of the forms is not required by this policy.

I. Definitions:

A. **Attendance:** Includes, but is not limited to attendance in person or by paper correspondence, videoconference, satellite, Internet, or other electronic information and telecommunications technologies for students who are not physically present in the classroom; and the period during which a person is working under a work-study program. *[Note: each campus may define when, between admission and the first day of classes, a student is first considered to be "in attendance" for purposes of this policy.]*

B. **Directory information:** Information contained in an education record of a student which is generally not considered harmful or an invasion of privacy if disclosed, such as the student's name; address; telephone listing; electronic mail address; date and place of birth; major field of study; classification by year; number of hours in which enrolled and number completed; participation in officially recognized activities and sports; weight and height of members of athletic teams; dates of attendance including matriculation and withdrawal dates; degrees, scholarships, honors, and awards received, including type and date granted; most recent previous educational agency or institution attended; and photograph.

1. Note that additional categories of student information may be permissible to designate as directory information under FERPA.
2. Pursuant to 34 CFR 99.37(d), the campus may specify that disclosure of directory information will be limited to specific parties, for specific purposes, or both. In that case, disclosure must be limited as specified in the notice.

C. **Dates of attendance:** The term means the period of time during which a student attends or attended an educational agency or institution. Examples of dates of attendance include an academic year, a spring semester, or a first quarter. The term does not include specific daily records of a student's attendance at an educational agency or institution.

D. **Disclosure:** To permit access to or the release, transfer, or other communication of personally identifiable information contained in education records by any means, including oral, written, or electronic means to any party except the party identified as the party that provided or created the record.

E. Education records: Any information recorded in any way, including, but not limited to, handwriting; print; video or audio tape; film; electronic, including computer records; computer media; microfiche, microfilm, and microform, which is directly related to a student and is maintained by the University or any of its campuses, or by a party acting for the University, except the following:

1. Records made by and kept in the sole possession of a University official or employee, used only as a personal memory aid, which are not made accessible or revealed to any other person except a temporary substitute for the official or employee;
2. Records of the campus law enforcement unit that are:
 - a) Created for a law enforcement purpose; and
 - b) Maintained by the law enforcement unit.
3. Employment records of University employees whose employment is not contingent on the fact that he/she is a student, which are made and maintained in the normal course of business, relate exclusively to the individual in his/her capacity as an employee, and are not available for use for any other purpose;
4. Student Treatment records made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting or assisting in his/her professional or paraprofessional capacity, which are made, maintained or used only in connection with treatment of a student, and are disclosed only to those persons providing the treatment. "Treatment" does not include remedial educational activities or activities which are part of the program of instruction at the University;
5. Alumni records which contain information about a student after he/she is no longer in attendance at the University, if the records do not directly relate to the individual's attendance as a student; and
6. Grades on peer-graded papers before they are collected and recorded by a teacher.

F. Personally identifiable information includes, but is not limited to:

1. The student's name;
2. The names of the student's parents or other family members;
1. The address of the student or student's family;
4. A personal identifier, such as the student's social security number, biometric record, or student number;
5. Other indirect identifiers, such as the student's date of birth, place of birth, and mother's maiden name;
6. Other information that, alone or in combination, is linked or linkable to a specific student that would allow a reasonable person in the school community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty; or
7. Information requested by a person who the educational agency or institution reasonably believes knows the identity of the student to whom the education record relates.

G. **Student:** A person who is in attendance or who has been in attendance at the University, regarding whom the campus maintains education records.

H. **The University:** The University of Arkansas or the specific campus, division or unit where the student is in attendance.

I. **University official:** A person employed by the university in an administrative, supervisory, academic, research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the university has contracted (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks; a volunteer or other party performing an institutional service or function for the University.

II. Right to Inspect Personal Education Records

A. Students have a right to inspect and review their own education records upon a written request to inspect them provided to the custodian of the record. Students wishing to access their education records should contact the University Registrar's Office or the custodian of the particular records sought and submit a written request that identifies the specific records he/she wishes to inspect.

B. A student may obtain a copy of his/her education records by paying a copying fee. However, a student may not receive an official copy of his/her academic transcript if there is a "hold" on that record because of an unpaid account.

C. While the University is not required to give a student access to treatment records as defined above, upon request the student may have those records reviewed by a physician or other appropriate professional of the student's choice. Under Arkansas law, a student, in contemplation of, preparation for, or use in any legal proceeding, shall be entitled to obtain access, personally or by and through his attorney, to the information in his medical records under the statutory scheme set forth in Ark. Code Ann. 16-46-106. The custodian of a student's education record shall comply with a request from the student for access to an education record within a reasonable period of time, but no later than forty-five (45) days after the request has been received.

D. Education records shall not be destroyed if there is an outstanding student request to inspect and review the records.

E. The custodian of a student's education record shall respond to a reasonable request from the student for an explanation and interpretation of the record.

F. The custodian of a student's record may refuse to allow the student to inspect the following records:

1. Records containing information on other students in addition to the requesting student. The requesting student may only see the part of the record relating to him/her, or be informed only of specific information in the record relating to him/her, provided that certain additional information may be released with respect to disciplinary matters conducted pursuant to Title IX of the Education Amendments of 1972, or to a victim of an alleged perpetrator of a crime of violence or non-forcible sex offense.
2. Financial records of the student's parents, or any information contained therein.
3. Confidential letters and statements of recommendation placed in the education records before January 1, 1975, which are used only for the purposes specifically intended.

2. Confidential letters and statements of recommendation placed in the education records after January 1, 1975, if the student has signed a waiver of his/her right of access thereto (see Form No. 1, attached), and the letters and statements of recommendation are related to the student's admission to the University, application for employment, or the receipt of an honor or honorary recognition. Confidential letters and statements of recommendation shall be used solely for the purposes for which they are specifically intended.
 - a) A waiver of right to access is only valid if it is not required as a condition for admission to the University or any of its campuses, nor as a condition for receiving financial aid or any other services or benefits from the University.
 - b) If a student has waived his/her right to review and inspect confidential letters and statements of recommendation, the custodian of education records containing such letters and statements shall give the student, on request, the names of the persons who made the confidential recommendations.
 - c) A waiver may be revoked in writing with respect to any actions occurring after the revocation.

III. Challenge to Education Records

A. A student may ask the custodian of any of his/her education records to amend or correct any information in the records which he/she believes is inaccurate, misleading or otherwise in violation of his/her privacy or other rights (See Form No. 2 attached). Any challenge must relate to recordkeeping. Challenges to a substantive decision shown in the record must follow separate University procedures relating to that decision.

1. A good faith attempt to resolve the dispute over the record shall be made by the student and the custodian of the record through discussion and other informal methods.
2. The University shall decide whether to amend the record as requested within a reasonable period of time after it receives the request.
3. If the University decides not to amend the record as requested, the student will be notified in writing of the decision and that he/she has a right to request a hearing to challenge the information the student believes to be inaccurate, misleading, or in violation of his/her privacy or other rights (See Form No. 3 attached).

B. Hearing procedures: A student may request a formal hearing after the student receives notice from the records custodian that the records will not be amended and that the student has a right to a formal hearing. The request for a formal hearing must be addressed to the Chancellor or chief executive officer for each campus, division or unit or his/her designee.

1. The request for formal hearing must be in writing and signed by the student and must contain:
 - a) A statement that the student is alleging a FERPA violation;
 - b) A summary of the evidence and arguments the student would present at a hearing;
 - c) The date the student received the above-referenced notice from the records custodian; and
 - d) Information about the student's attempts to resolve the matter with the records custodian and the results of these attempts.

2. If the student requests a hearing, the Chancellor or chief executive officer for each campus, division or unit or designee will make the arrangements for the hearing within a reasonable time following receipt of the request.
3. The Chancellor or chief executive officer for each campus, division or unit or designee will notify the student, the custodian of the challenged record, and other interested parties in writing of the date, time, and place of the hearing, reasonably in advance of the hearing.
4. The Chancellor or chief executive officer for each campus, division or unit or designee will designate a University official who does not have a direct interest in the outcome of the hearing to preside as hearing officer.
5. The student may be assisted or represented by one or more individuals of his/her choice, including an attorney, at the student's expense.
6. The student shall be given a full and fair opportunity to present evidence relating to the issues raised in the request to amend or correct the education record.
7. Within a reasonable time after the hearing, the hearing officer shall make his/her decision in writing, which shall be based solely on the evidence presented at the hearing and shall include a summary of the Evidence presented and the reasons for the decision. A copy of the decision shall be furnished to the student, the custodian of the challenged education record, and the Chancellor, or chief executive officer for each campus, division or unit, or designee.

C. If, as a result of the hearing, the hearing officer decides that the information is inaccurate, misleading, or in violation of the student's privacy or other rights, the record will be amended and the student will be notified in writing of the amendment.

D. If, as a result of the hearing, the hearing officer decides that the information in the education record is not inaccurate, misleading, or otherwise in violation of the privacy or other rights of the student, the student will be informed in writing that he/she has a right to place a statement in the record commenting on the contested information and stating why he/she disagrees with the decision of the University. The statement will be maintained with the contested part of the record for as long as the record is maintained and will be disclosed whenever the contested portion of the record is disclosed.

IV. Disclosure of Personally Identifiable Information from a Student's Education Records

A. Except as otherwise provided in this policy, personally identifiable information from a student's education records shall not be disclosed without the prior written consent of the student (See Form No. 4 attached). A photocopy or facsimile may be accepted in place of an original signed consent.

1. To be effective the consent to disclose must be signed and dated and:
 - a) Specify the records that may be disclosed;
 - b) State the purpose of the disclosure; and
 - c) Identify the person, agency, institution, organization or class of persons, agencies, institutions, or organizations to whom the disclosure may be made.

2. If the student so requests, the University shall provide him/her with a copy of the records which are disclosed, upon payment of a copying fee.

B. The University may disclose personally identifiable information from a student's education record without consent under the following conditions:

1. Directory information may be disclosed so long as students currently in attendance are given public notice of what is considered to be directory information, and the right to notify the campus registrar in writing within a designated period of time that he/she does not want any or all of the types of information about him/her to be designated as directory information (See Form No. 5 attached). This notice shall be given as a part of the annual notice of rights under FERPA. [Additionally, a student may manage his/her directory/public information through the online student information system for the campus.]
2. The disclosure is to a University official that has a legitimate educational interest in the information. A University official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the University, including, but not limited to, performing a task in furtherance of the University's educational mission; performing an administrative task outlined in the official's duties; performing a supervisory or instructional task directly related to a student's education; or providing a service or benefit for a student such as health care, counseling, job placement, or financial aid. School officials may not access student records for personal reasons.
3. The University may forward education records to other educational agencies or institutions which have requested a student's education records and in which the student seeks or intends to enroll, or in which the student is enrolled or receives services. A student may receive a copy of the record which was disclosed, upon request and payment of a copying fee.
4. The disclosure is to representatives of the Controller General of the United States, the Attorney General of the United States, the Secretary of the U.S. Department of Education, or state and local educational officials, in connection with an audit or evaluation of federal or state supported education programs, or for the enforcement of or compliance with federal or state supported education programs, or with federal legal requirements which relate to those programs. Unless the student has given written consent for disclosure, or the collection of personally identifiable information is specifically authorized by federal law, the information collected must be protected in a manner which does not permit personal identification of individuals by anyone except the listed officials and must be destroyed when no longer needed for the authorized purposes.
5. The disclosure is in connection with a student's application for or receipt of financial aid, if the information is necessary to determine the eligibility, amount or conditions of the financial aid, or to enforce the terms and conditions of the aid.
6. The disclosure concerns the juvenile justice system and is to state and local officials or authorities to whom such information is specifically required to be reported or disclosed under state law as provided for under 34 CFR 99.31(a)(5)(i)(B).
7. The disclosure is to federal, state, or local agencies or independent organizations conducting studies for, or on behalf of, the University or other educational agencies or institutions for the purpose of developing, validating, or administering predictive tests; administering student aid programs; or improving instruction. Personally identifiable information will only be disclosed if the study is conducted in a manner that does not permit personal identification of students by individuals other than representatives of the organization, and the information is destroyed when no longer needed for the purposes for which the study was conducted.

8. The disclosure is to accrediting organizations to carry out their accrediting functions.
9. Disclosure to a student's parents, if she/he is their dependent for federal income tax purposes as defined in section 152 of the Internal Revenue Code of 1986. To establish that the student is their dependent for federal income tax purposes, the parents must complete a form and submit it to the University Registrar along with a copy of their federal tax return. This eligibility must be established annually.
10. The disclosure is to comply with a judicial order or a lawfully issued subpoena. The University must make a reasonable effort to notify the student of the order or subpoena in advance of compliance therewith so that the student will have the opportunity to seek protective action, unless the court order or subpoena directs that the court order or subpoena not be disclosed to the student. (See Form No. 6 attached).
11. The disclosure of a student's personally identifiable information to appropriate persons, including the student's parents, agencies, institutions, or organizations in connection with an emergency if knowledge of the information is necessary to protect health or safety of the student or of other persons.
12. The disclosure is to the student.
13. The disclosure is provided to a victim of an alleged perpetrator of a crime of violence or a non-forcible sex offense. The disclosure may only include the final results of the disciplinary proceeding conducted by the University with respect to that alleged crime or offense.
14. The disclosure is provided in connection with a disciplinary proceeding at the University when the student is an alleged perpetrator of a crime of violence or non-forcible sex offense; and with respect to the allegation made against him or her, the University has determined that the student has committed a violation of the University's rules or policies. The disclosure may only include the final results of the disciplinary proceeding conducted by the University with respect to that alleged crime or offense. The University may not disclose the name of any other student, including a victim or witness, without the prior written consent of the other student. *[Note: The University will apply this exception consistent with its obligation not to release other personally identifiable information regarding other students].*
15. Disclosure of information concerning sex offenders and other individuals required to register under section 170101 of the Violent Crime Control and Law Enforcement Act of 1994 (42 U.S.C. §1407) if the information was provided to the University under that statute and applicable federal guidelines.
16. When a student is found to have violated laws or University policies concerning use or possession of alcohol or a controlled substance, and the University discloses this information to the student's parents or guardian, provided that the student is under the age of 21 at the time the information is disclosed to his or her parent.
17. The disclosure is to a court in the context of a lawsuit that the student brought against the institution or that the institution brought against the student. The institution need not give the student advance notice of such disclosure, but is limited to disclosing information that is "relevant" to the action and that does not relate to other students who are not adversary parties to the lawsuit.

C. Except with respect to directory information or disclosures to the student, the University may only disclose personally identifiable information from an education record on condition that the recipient of the information will not disclose it to any other person, agency, institution, or organization not authorized to have access to such records unless the student consents prior to the secondary disclosure, and on condition that the information will only be used for

the purposes for which the disclosure was made.

1. The recipient of the information may make further disclosures of the information on behalf of the University under the conditions set out in Section B above, if records of the disclosure are maintained in accordance with Paragraph D below.
2. The following statement should be placed on any information which is disclosed, except directory information or information disclosed to the student: "Information from this education record may not be released to other persons without the written consent of the subject of the record."

D. Release of De-identified Data:

The University may release data from education records without the student's consent if all personally identifiable information is removed before the data is released. Before releasing this de-identified data, the University must make a reasonable determination that a student is not personally identifiable either through the release in question or multiple releases, and in making that determination, the University must take into account other reasonably available information which, when combined with the de-identified data, might make the data personally identifiable.

The University may release de-identified data from education records for the purpose of education research by attaching a code to each de-identified student record that may allow the recipient to match it with other information received from the University if:

1. The University does not disclose any information about how it generates and assigns the record code or information that would allow the recipient to identify a student based on the record code;
2. The record code is only used to identify a de-identified record for purposes of education research and cannot be used to ascertain personally identifiable information about a student; and
3. The record code is not based on a student's social security number or other personal information.

E. Conditions for Re-disclosure:

1. When personally identifiable information from education records is disclosed to another party, that party may not further disclose the information without the student's prior written consent, **unless:**

- a) The initial disclosure is made with the understanding that the party receiving the information may re-disclose it to specified individuals or organizations who meet the requirements of III.C. above, and;
- b) The record of disclosures (see IV. D. 1-2. above) includes the names of the additional parties to whom the information may be disclosed or, if the initial disclosure was to a State or local educational authority or Federal official or agency, that authority, official or agency is keeping a record of disclosures as discussed in IV. D. 1-2. above.
- c) When the University discloses information to another party, it will inform that party of the requirements set out in this section. This does not apply to disclosures to the accuser and accused where the alleged violation is a sex offense as required by the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act [20 U.S.C.1092(f)].

F. Recordkeeping Requirements:

1. Except as provided in Paragraph D.3 above, the custodian of education records shall maintain a record of each request for access to and each disclosure of personally identifiable information from the education records of each student, which shall be maintained with the education records for as long as the education records are maintained.
2. The record of disclosures shall include the names of persons, agencies, institutions or organizations which have requested or received personally identifiable information from the education records, the names of any additional parties to whom the information may be redisclosed, and the legitimate interests the requesters or recipients of information had in requesting or obtaining the information.
3. A record of disclosures does not need to contain information concerning requests for access to records or disclosures made to or with the written consent of the student to a University official, or which sought directory information.
4. The record of disclosures may be inspected and reviewed by only the following:
 - b. The student, or others authorized by the student in writing;
 - c. Campus faculty, staff, or administrators responsible for custody of that record; and
 - d. University officials and federal, state, and local officials responsible for auditing the recordkeeping procedures.

V. Annual Notice to Students:

A. At least annually, the University shall publicly notify current students that they have the following rights with regard to their education records:

1. To inspect and review all education records pertaining to him/her; *[Note: the notice shall include the procedure for exercising this right.]*
2. That the following information, which is considered to be directory information, will be subject to public disclosure unless the student informs the campus registrar in writing before the last day of late registration for the undergraduate program for the fall semester *[or other date specified by the campus]* that he/she does not want any or all of these types of information designated as directory information: *[Additionally, a student may manage his/her directory/public information through the online student information system for the campus.]*

The student's name; address; telephone listing; electronic mail address; date and place of birth; major field of study; classification by year; number of hours in which enrolled and number completed; participation in officially recognized activities and sports; weight and height of members of athletic teams; dates of attendance including matriculation and withdrawal dates; degrees, scholarships, honors and awards received, including type and date granted; most recent previous educational agency or institution attended; and photograph;

3. To request the amendment of his/her education records to ensure that they are not inaccurate, misleading, or otherwise in violation of his/her privacy or other rights; *[Note: the notice shall include the procedure for exercising this right.]*
4. To consent to disclosure of personally identifiable information contained in his/her education records,

except to the extent that FERPA authorizes disclosure without consent; and

5. To file a complaint with the U.S. Department of Education concerning an alleged failure by the University to comply with the requirements of FERPA.

B. The notice shall advise students how they may access the University's FERPA policy, which describes how they may exercise the rights above, as well as the University's definition of school officials and what constitutes a legitimate educational interest in education records.

C. The annual notification of rights shall be by a means reasonably likely to inform current students (including students with disabilities) of their rights, such as by publication in the catalog, student handbook, and/or by publication on the University's web site. (See Form No. 7 attached).

April 29, 2016

RESTRICTING/RELEASING STUDENT EDUCATION RECORDS (UAM Operating Procedure 545.1)

The Family Educational Rights and Privacy Act (FERPA) of 1974 (20 U.S.C. § 1232g; 34 CFR Part 99) is a federal law that protects the privacy of student education records. "Education records" are "those records, files, documents, and other materials which 1) contain information directly related to a student; and 2) are maintained by an educational institution" as per 20 U.S.C. § 1232g(a)(4)(A); 34 CFR § 99.3. FERPA applies to all schools that receive funds under an applicable program of the U.S. Department of Education.

Generally speaking, FERPA allows the University to disclose education records or personally identifiable information from education records in the following circumstances: (1) with the written consent of the student; (2) if the disclosure meets one of the statutory exemptions*; or (3) if the disclosure is "directory information", and the student has not placed a hold on release of "directory information".

At UAM the following items are considered "directory information":

1. Name
2. Address
3. Telephone number
4. Photograph
5. Date and place of birth
6. Nationality
7. Parent's name and address
8. Spouse's name and address
9. Marital Status
10. Religious Preference
11. Number of hours enrolled
12. Number of hours completed
13. Classification by year
14. Dates of attendance at University
15. Major field of study
16. Participation in recognized activities and sports
17. Weight and height (athletic teams)
18. Scholarships, honors, degrees and awards received
19. Name of most recent educational institution
20. Campus e-mail address

Restricting Information

At any time students may restrict the release of any/all "directory information" by visiting the student's WeevilNet self service account and accessing the "Security" tab on the Personal Information page to enter the restriction. Students should be aware that restricting the release of "directory information" has other consequences. For example, depending upon the particular directory items restricted, the University may not notify a student's hometown newspaper about awards and honors received, may not verify enrollment to a third party, or may not verify degree completion to a third party.

Release of Information

Except to the extent that FERPA authorizes disclosure without consent*, personally identifiable information from a student's education records, other than "directory information", will not be disclosed without prior written consent of the student. This includes the following information concerning a student: 1) Academic (except for academic items listed as "directory information"); 2) Financial; 3) Disciplinary; 4) Health; and 5) Psychological.

If a student wants the University to release any and/or all of the above information to a parent, spouse, or other third party, the student must visit the student's WeevilNet self-service account and access the "Release of Information" link below the personal information section. The release is valid from date entered throughout continuous enrollment. Any changes or updates must be submitted through the same link.

The custodian of educational records (the Registrar) will maintain a record of each request for access to and each disclosure of protected personally identifiable information from the education records of each student, which will be maintained with the education records for as long as the education records are maintained.

If information is released by the University, the student may request, and the University will provide, a copy of the records which have been disclosed. The student will be responsible for payment of a copying fee.

***Note: The University may disclose personally identifiable information from a student's record without consent** to school officials with legitimate educational interests. A school official is a person employed by the university in an administrative, supervisory, academic, research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the university has contracted (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; a student serving on an official committee, such as a disciplinary or grievance committee, a person or company with whom the school has contracted as its agent to provide a service instead of using school employees or officials (such as an attorney, auditor, collection agent, verification agencies such as the National Student Clearinghouse), or assisting another school official in performing his or her tasks; a volunteer or other party performing an institutional service or function for the University. A legitimate educational interest exists if the official needs to review an education record in order to fulfill his/her professional responsibilities for the University, including, but not limited to, performing a task in furtherance of the University's educational mission; performing an administrative task outlined in the official's duties; performing a supervisory or instructional task health care, counseling, job placement, or financial aid. School officials may not access student records for personal reasons.

As well, the University may disclose personally identifiable information from a student's record without consent under the following conditions: 1) "directory information" not specifically restricted by the student; 2) disclosure is to an educational agency or institution where the student intends to enroll or seek services; 3) disclosure is to a federal, state or local agency in connection with an audit or evaluation of a federal or state program or for the enforcement of or compliance with federal or state-supported programs; 4) disclosure is in connection with an audit or evaluation of a federal or state program or for the enforcement of or compliance with federal or state-supported programs; 5) disclosure is in connection with a student's application for or receipt of financial aid; 6) disclosure is to a state or local official to whom such information is required to be reported under any state statute enacted prior to 11/17/74; 7) disclosure is to federal, state or local agencies for the purpose of developing, validating, or administering predictive tests or administering financial aid or improving instruction; 8) disclosure is to an accrediting organization to carry out its accrediting functions; 9) disclosure is to the parents of a dependent student as defined by section 152 of the Internal Revenue Code; 10) disclosure is to comply with a judicial order or a lawfully issued subpoena (the University must make a reasonable effort to notify the student of the order or subpoena in advance of compliance); 11) disclosure is to appropriate persons, agencies, institutions, or organizations in connection with an emergency if knowledge of the information is necessary to protect the health or safety of the student and/or of other persons; 12) disclosure is to the student.

Inspect and Review Records

A student has the right to inspect and review his/her education records, with some exceptions under the Act, within 45 days of the day the university receives a request for access. Students should submit to the Office of the Registrar written requests that identify the record(s) they wish to inspect. The university official will make arrangements for access and notify the student of the time and place where the records may be inspected. If the

records are not maintained by the university official to whom the request was submitted, that official shall advise the student of the correct official to whom the request should be addressed.

Amendment of Records

A student has the right to request the amendment of his/her education records that the student believes are inaccurate or misleading. Students should write the university official responsible for the record, clearly identify the part of the record they want changed, and specify why it is inaccurate or misleading. If the university decides not to amend the record as requested by the student, the university will notify the student of the decision and advise the student of his or her right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing.

Complaints

A student has the right to file a complaint with the U.S. Department of Education concerning alleged failures by the university to comply with the requirements of FERPA. The name and address of the office that administers FERPA is as follows:

Student Privacy Policy Office
U.S. Department of Education
400 Maryland Avenue, SW Washington DC 20202-4605
Phone: 1-800-872-5327

March 16, 1987
Revised: July 1, 2011
Revised: September 22, 2015
Revised: November 15, 2019
Revised: February 24, 2020

FRAUD (UA Board Policy 350.1)

This fraud policy is established to facilitate the development of controls which will aid in the prevention and detection of fraud within the University of Arkansas System (the “System”). It is the intent of the System to promote consistent organizational behavior by providing guidelines and assigning responsibility for the development of prevention and detection controls and conduct of investigations.

I. Scope

This policy applies to any fraud, or suspected fraud, involving Board of Trustees, employees, consultants, vendors, contractors, outside agencies doing business with employees of such agencies, students and any other parties with a business relationship with the System.

Any investigative activity required will be conducted without regard to the suspected wrongdoer’s length of service, position or title, or relationship to the System.

II. Policy

Management is responsible for the prevention and detection of fraud, misappropriations, and other inappropriate conduct. Fraud is defined as the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon it to his or her injury. Each member of the management team will be familiar with the types of improprieties that might occur within his or her area of responsibility, and be alert for any indication of irregularity.

Any fraud that is detected or suspected must be reported to the Internal Audit Department, who coordinates investigations with the University’s General Counsel and other affected areas, both internal and external.

III. Actions Constituting Fraud

The terms defalcation, misappropriation, and other fiscal wrongdoings refer to, but are not limited to:

- An entry into the accounting records of the System that is intentionally made to represent what is not true or does not exist, with intent to deceive the officers and Trustees of the University of Arkansas System
- Forgery of a check, bank draft, wire transfer or any other System financial document
- Unauthorized alteration of any financial document or account belonging to the System
- Misappropriation of funds, securities, supplies, or other System assets
- Impropriety in the handling or reporting of money or financial transactions
- Disclosing confidential and proprietary information to outside parties for personal gain, except as allowed under the Arkansas Freedom of Information Act or other law
- Theft of identity
- Accepting or seeking anything of material value from contractors, vendors or persons providing services or materials to the System, except as provided in gift policies
- Unauthorized destruction, removal, or use of records, furniture, fixtures, and equipment for personal gain
- Any similar or related inappropriate conduct

IV. Other Inappropriate Conduct

Suspected improprieties concerning an employee's moral, ethical, or behavioral conduct, should be resolved by departmental management and human resources personnel rather than Internal Audit.

If there is any question as to whether an action constitutes fraud, contact the Internal Audit Director for guidance.

V. Identity Theft Prevention Programs

In accordance with the Federal Trade Commission issuing the Red Flags Rule under sections 114 and 315 of the Fair and Accurate Transactions Act (FACT), Subpart J, Section 41.90, each campus will prepare a written Identity Theft Prevention Program. This program should be designed to detect, prevent and mitigate identity theft in regard to "covered accounts", as defined in the law. The programs must be approved by the Board of Trustees and include a requirement for an annual review and update filed with the University of Arkansas System Vice President for Finance and Chief Fiscal Officer through the Chancellor's Office of each campus.

VI. Investigation Responsibilities

The Internal Audit Department has the primary responsibility for the investigation of all suspected fraudulent financial acts as defined in the policy. If the investigation substantiates that fraudulent activities have occurred, the Internal Audit Department will issue reports to appropriate designated System officers and personnel and to the Board of Trustees through the Audit Committee.

Decisions to prosecute or refer the examination results to the appropriate law enforcement and/or regulatory agencies for further independent investigation will be made in accordance with Arkansas and Federal laws by the Officers and Trustees of the System in consultation with the General Counsel, as will final decisions on disposition of the case.

VII. Confidentiality

The Internal Audit Department treats all information received confidentially. Any employee who suspects dishonest or fraudulent activity will notify the Internal Audit Department, and should not attempt to personally conduct investigations or interviews related to any suspected fraudulent act.

Investigation results will not be disclosed or discussed with anyone other than those who have a legitimate need to know subject to Arkansas Freedom of Information Act. This is important in order to avoid damaging the reputations of persons suspected but subsequently found innocent of wrongful conduct.

VIII. Reporting Procedures and Fraud Hotline

Great care must be taken in the investigation of suspected improprieties or wrongdoings so as to avoid mistaken accusations or alerting suspected individuals that an investigation is under way.

An employee who discovers or suspects fraudulent activity will contact the Internal Audit Department either directly or through the System's established Fraud Hotline. The employee or other complainant may remain anonymous. All inquiries concerning the activity under investigation from the suspected individual, his or her attorney or representative, or any other inquirer should be directed to the Internal

Audit Department or General Counsel. No information concerning the status of an investigation will be given out.

The reporting individual should be informed that they should not contact the suspected individual in an effort to determine facts or demand restitution or discuss the case, facts, suspicions, or allegations with anyone unless specifically asked to do so by the General Counsel or the Internal Audit Department.

IX. Termination

The Internal Audit Department does not have the authority to terminate an employee for committing fraudulent acts. Decisions to terminate an employee reside with the University's senior management and officers in consultation with Human Resources and the General Counsel.

X. Administration

The Internal Audit Department is responsible for the administration, revision, interpretation, and application of this policy.

April 17, 2009 (Revised)
September 22, 2007

USE OF ROOFS AND EXTERIOR WALLS OF BUILDINGS (UA Systemwide Policies and Procedures (UASP) 720.1)

1. Purpose:

The University has a concern about improper uses of roofs and its building and use of exterior sides of building reached by way of roofs or upper windows at its campuses and other facilities. Such portions of buildings are not intended for general traffic. Personal injuries and damage to roofs and buildings may result from improper uses. In order to protect University property and manager risks, the followings policy is established and is to be enforced by University personnel having charge of a building or buildings, and by the security officers of the institution.

2. Policy:

- (1) The areas subject to this policy are the roofs and exterior walls of University properties.
- (2) The aforementioned areas shall only be accessible to University employees, such as facilities personnel, having a need directly associated with their work on behalf of the University. They may be accessible for members of the faculty and their students in connection with a regularly-scheduled curriculum course that requires such access (e.g. Astronomy class, Electrical Engineering Antennae Laboratory, etc.), but only after establishing with the director of facilities management for the campus or unit those areas that may be utilized safely.
- (3) Other than those University employees and students specified above, any other persons (including students, employees, or those not associated with the University) found in or on the areas described above shall be deemed to be trespassing and/or charged with violating University policies, which may result in disciplinary action. It is the duty of University employees to report such violators. Action should also be taken to again secure the points of access used by such violators.
- (4) Where there is legitimate need for non-University personnel (architects, independent contractors installing or repairing facilities, etc.) to be permitted access to the areas described, their requests should be referred to the campus or unit director of facilities management. The director may monitor, and may condition, the access in order to protect the interests of the University in the event the director grants the permission. An appropriate release form may be required as a condition for approving access.
- (5) No rooftop machinery, equipment, antennae, greenhouse, rappelling anchors (temporary or permanent), or other property shall be installed on roofs or roof edges without express permission from the director of facilities management for the particular campus.
- (6) Unless required for emergencies or authorized emergency management training exercises, rappelling using University buildings is specifically prohibited.
- (7) Student handbooks shall contain a summary of this policy, as shall faculty and staff handbooks.

April 29, 2016

INDEX

A

Absence from Work	61
Academic Advising	79
Academic Appeals Committees	113
Academic Employee Grievance Procedure (Adm. Memo 460.1).....	52
Academic Unit Heads	22, 45
Academic Unit Head's and Vice Chancellor for Academic Affairs' Evaluation	118
Academic Unit Head's Evaluation	117
Administrative Committees	22
Administrative Employees.....	47
Advisor to Student Organizations.....	79
Alcohol and Illicit Drug Health Risks.....	105
All Other Employees and Student Workers	49
Amendments to the Organization of Graduate Studies	26
Amendments to these Bylaws	116
Animal Care and Use Policy	81
Annual Evaluation Course of Action	115
Annual Evaluation Procedures and Forms.....	116
Annual Evaluation Timetables by Faculty Category	113
Annual Faculty Evaluation	51
Annual Faculty Evaluation by Faculty Peer or Chair/Dean/Director	120
Annual Faculty Evaluation Procedures.....	116
Applicable Statutes	85
Appointment and Reappointment	41
Appointment Periods.....	47
Appointments, Promotion, Tenure, Non-Reappointment, & Dismissal of Faculty (Board Policy 405.1)	27
Assembly Amendments	109
Assembly Committees	111
Assembly Meetings.....	108
Assembly Membership.....	107, 110
Assembly Officers	108, 110
Athletic Committee	113
Attendance at Professional Meetings	62
Attendance Policy	76

C

Cafeteria Meal Ticket at Reduced Price.....	73
Campus Governance	19
Campus Mail.....	73
Catastrophic Faculty Leave Bank Program	57
Catastrophic Leave (Acts 91 And 169 Of 1991).....	57
Chancellor	24
Children's Education Activity Leave (Act 1028 Of 2007)	64
Classroom Behavior/Disruption Policy.....	80
Clery Act Disclosure	106
Committee on Committees.....	111

Committees of the Graduate Council.....	25
Communications.....	69
Complaint Procedures.....	85
Complete Evaluations.....	118
Compliance with Local, State and Federal Regulations.....	85
Computer Services.....	73
Consensual Relationships.....	103
Consideration of Academic Unit Heads.....	45
Constitution and Bylaws of UAM.....	24
Core Values.....	10
Councils.....	115
Counseling and Treatment Services.....	106
Course Syllabus Requirements.....	79
Court and Jury Leave (Board Policy 420.1).....	63
Credit Union.....	73
Curriculum and Standards Committee.....	113

D

Deadlines for Textbook and Course Material Adoption.....	69
Development and Fund-Raising Activities.....	71
Dismissal.....	47
Disturbances and Demonstrations.....	71
Drug Free Schools and Communities Act.....	105
Drug-Free Workplace.....	106

E

Emeritus Status (Board Policy 475.1).....	66
Employee Moving Expenses.....	70
Enrollment in University Courses.....	71
Evaluation Disposition.....	118
Evaluations.....	116
Extra Compensation and Overload (Adm. Memo 440.2 and OP 410.6).....	51

F

Faculty and Staff with Disabilities:.....	73
Faculty Attendance at Commencement.....	78
Faculty Class Attendance.....	75
Faculty Committee on Dismissals.....	114
Faculty Compensation.....	50
Faculty Council.....	115
Faculty Employees.....	48
Faculty Equity and Grievance Committees.....	114
Faculty Grading Standards, Examinations, Grade Reports and Attendance Report Policies.....	75
Faculty Office Hours.....	78
Faculty Peer Evaluation.....	117, 118
Faculty Ranks.....	41
Faculty Research Committee.....	114
Faculty Responsibilities.....	75
Faculty Self-Evaluation.....	117, 118
Faculty Self-Evaluation Form.....	122
Family and Medical Leave.....	57

Federal Laws and Regulations Concerning Non-discrimination.....	73
Final Examination Schedule	76
Financial Aid Appeal Committee	24
Fringe Benefits	64

G

Garnishment and Salary Liens (Adm. Memo 440.9).....	53, 145
Governance of the University of Arkansas System	19
Graduate Council	25
Graduate Faculty	24
Graduate Faculty and the UAM Graduate Council	116
Graphic Design and Copy Center.....	73

H

Holidays	55
Hornaday Outstanding Faculty Award	124
Human Relations Committee	24

I

Information Technology Committee.....	23
Institutional Learning Outcomes.....	10
Introduction.....	1

J

Jurisdiction.....	86
-------------------	----

K

Keys	69
------------	----

L

Leave of Absence Without Pay (Adm. Memo. 435.2, Board Policy 420.1).....	55
Library Committee	114
Library Use	72

M

Mid-Term Grade Policy	75
Military Leave (Board Policy 420.1).....	62
Miscellaneous Policies Governing Faculty Service.....	47
Mission	10
Monitoring, Evaluating and Updating	119

N

Nepotism (Board Policy 410.1).....	66
------------------------------------	----

Non-Academic Staff Advisory Committee	23
Non-Probationary Faculty	118

O

Off-Campus Duty Assignment (Adm. Memo. 435.4)	55
Office of Graduate Studies	24
On-Campus Parking	71
On-The-Job Injury	71
Organization of Graduate Studies	24
Other Duties	79
Outside Employment of Faculty and Staff Members for Compensation (Board Policy 450.1)	51

P

Policy for Research Using Human Subjects	80
Policy on Changing Grades	76
Policy on Patents and Inventions	64
Political Activity (Board Policy 465.1)	65
Post-Tenure Review	40
Probationary Faculty	116
Professional Growth (Scholarship) And Development (Renewal)	116
Promotion	41
Promotion / Tenure Credit for Advanced Degree	67
Promotion and Tenure Portfolio Guidelines	118
Promotion and Tenure Schedule	119
Promotion and/or Tenure Cover Sheet/Checklist	111
Purchases	69

R

Recreation Facilities	72
Regulations in Business Affairs (Adm. Memo. 325.1)	69
Relations with Legislators and Members of Congress (Adm. Memo. 910.1)	66
Reserving Facilities	72
Residence Status of Faculty and Staff	70
Retirement Age (Board Policy 425.4)	66

S

Sale of Books	69
Sale of University Property	69
Scholarship and Financial Aid Committee	23
Service	123
Services for Students with Disabilities	80
Sexual Misconduct, Discrimination, Harassment, and Retaliation Complaints (Title IX)	86
Sick Leave (Board Policy 420.1)	56
Staff Employees	49
Standard Work Load	49
Statement of Local, State and Federal Law Applicability	105
Statement of Policy	85
Student Absences Due to Participation in University Sponsored Events	80
Student Affairs Committees	115

Student Appeal of Grade.....	76
Student Complaint/Grievance Procedure for Non-academic Matters	91
Student Evaluation.....	117, 118
Student Records	77
Student Records and Their Disclosure.....	80
Summer Teaching Policy (UAM Operating Procedure 440.3).....	50
System Committees.....	116

T

Teacher Education Committee	115
Teaching	116
Technical Programs' Curriculum and Standards Committee.....	113
Tenure	45
Termination of Employment.....	47
The Assembly	107
The UAM Constitution	107
Travel Regulations.....	69

U

U of A Policies Governing Faculty Service.....	27
UAM Administration.....	21
UAM Campus History	11
UAM Publications	117
UAM Strategic Plan.....	13
University Assessment Committee	24
University Policies Regarding Faculty Rights and Privileges.....	69
University Policy and Sanctions	105
Universitywide Administrative Policies and Board policies.....	127
Use of Private Cars	69
Use of University Facilities	72
Use of University Vehicles	69
Use of University's Name	70
Utilizing Evaluations.....	118

V

Vacation Leave.	53
Vice Chancellor for Academic Affairs	21
Vice Chancellor for Academic Affairs' Evaluation.....	117
Vice Chancellor for Finance and Administration	21
Vice Chancellor for Student Engagement.....	22
Vice Chancellor for the College of Technology at Crossett	22
Vice Chancellor for the College of Technology at McGehee	22
Vice Chancellor for University Advancement.....	22
Vision.....	10
Visitors.....	69
Voluntary Early Retirement Program for Tenured Faculty	133

W

Workload Spreadsheet	51
----------------------------	----