

CHAPTER THREE - APPOINTMENT, REAPPOINTMENT, PROMOTION, TENURE, AND 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 Provost and 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, 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;
- 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 has 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 K-12 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

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 Provost and VCAA by December 15.

After the information has been received by the Provost and 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 Provost and VCAA will forward each recommendation and each appeal to a Campus Promotion and Tenure Committee which will make a recommendation to the Provost and 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 Provost and VCAA will appoint the chairman.

The committee will meet and deliberate, and by January 25, each member of the committee will forward his own unsigned, typewritten recommendation to the Provost and VCAA.

The Provost and 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 Provost and VCAA forwards 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 Provost and 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 Provost and VCAA who will also notify the candidate.

The Provost and 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 Provost and 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 Provost 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 the Provost and VCAA. The procedure will then continue as outlined in Board Policy 405.1, page 15, Item 5, Committee Proceedings.