PERSONNEL DOCUMENT

COLLEGE OF ENGINEERING
University of Arkansas

Approved by the Faculty: April 30, 2010
PERSONNEL DOCUMENT

Evaluative Criteria, Procedures, and General Standards for Initial Appointment, Successive Appointments, Promotion, Tenure, and Annual Review of Faculty
College of Engineering
University of Arkansas, Fayetteville

This document governs the College of Engineering in the selection, reappointment, promotion, granting of tenure to, and evaluation of faculty, effective ___. It has been approved by the College of Engineering faculty, the Dean of the College of Engineering, the Provost, the Chancellor, and the President of the University of Arkansas, as indicated by the signatures below.

Faculty performance is evaluated each year by the departments in the University of Arkansas, College of Engineering (College), and recommendations for promotion and tenure originate in the departments and are reviewed by the college. College policies on faculty service are designed to recognize and reward meritorious performances by salary increases, promotion, and granting of tenure. Granting of tenure requires a high standard of performance in teaching, research and service.

These College policies are supplemented by policies of the departments in the College of Engineering and are required to be consistent with the policies of the University as set forth in three campus policy statements, those on (1) University Professorships, (2) Distinguished Professorships, and (3) Evaluative Criteria, Procedures, and General Standards and Initial Appointment, Successive Appointments, Promotion and Tenure, and a Board of Trustees policy, 405.1. In case of conflict, the board policy, the campus policy, the College of Engineering policy, and the department policy will have authority in that order. Copies of the campus and board policy documents are available online, as referenced in the Faculty Handbook, at the UA web site http://uark.edu/admin/vcacevey/, and care should be taken to consult the current document. A copy of the current Faculty Review Checklist is also contained in the Faculty Handbook.

It is the policy of the University of Arkansas, Fayetteville to provide equal employment opportunity to all qualified persons; to prohibit discrimination against any employee or applicant for employment because of race, color, religion, sex, age, national origin, sexual orientation, marital or parental status, veteran's status, or disability, and to promote the full realization of equal employment opportunity through a positive, continuing program of affirmative action.

All decisions in selection, reappointment, promotion, and termination of faculty shall be made on the basis of professional merit, the quality of performance of assigned duties, and the quality of or potential for contribution to the University. Exceptions are based on financial exigency as defined by Board of Trustee policy or elimination of programs.
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INTRODUCTION

A. RESPONSIBILITIES

The principal responsibility for implementing this personnel document and formulating department recommendations rests with the Department Heads and the Dean of the College of Engineering. However, Board of Trustees policy and campus personnel policies also assign important roles to the faculty of the College, including providing input through college and department-level personnel committees and development of a written department personnel document delineating specific criteria and procedures.

At the college level, the elected College Promotion and Tenure Committee will serve to advise the Dean and, as necessary, the department heads, on personnel matters, including reconsideration of recommendations made at either the department level or the college level. The College of Engineering Promotion and Tenure Committee consists of one tenured faculty representative from each of the seven departments in the college. Each representative is elected by the entire tenured and tenure-track faculty of his/her department and serves a three-year term. Sitting department heads, associate deans and the dean are ineligible to serve on the committee. No one person will serve on the college committee for more than two successive three-year terms unless the incumbent is the only faculty member in the department who is eligible. The chair of the committee will be elected from its membership for a one year term with the election being conducted during the first meeting of the committee in each academic year.

At the department level, each department’s personnel document shall articulate criteria and procedures concerning annual performance reviews and recommendations for initial appointments, reappointments, tenure, promotion, post-tenure review and emeritus status. The department personnel document shall specifically address the process for electing the Department Personnel Committee (referred to as the Unit Committee in the campus personnel document), which makes recommendations regarding department personnel matters, and shall delineate the committee’s responsibilities, including the role of the committee in the annual review process. The department personnel document shall also specify criteria and standards for initial appointment and for the granting of tenure and for promotion to each rank. The Department Personnel Committee shall be comprised of at least three members of the faculty elected by the tenured and tenure-track members of the department. The Department personnel document shall be subject to the provisions of this College document as well as campus and University policies, and shall be subject to the approval of the Dean, the Provost and Vice Chancellor for Academic Affairs, the Chancellor and the President.

B. CRITERIA AND PROCEDURES FOR APPOINTMENT, PROMOTION AND GRANTING OF TENURE

Departments are required to have approved documents on Evaluative Criteria, Procedures, and General Standards for Initial Appointment, Successive Appointments, Promotion, Tenure, Post-Tenure Review and Annual Review of Faculty. The document of each department must contain
the criteria for initial appointment, tenure, and promotion to the ranks of Assistant Professor, Associate Professor, and Professor in that department. Department documents may also include criteria for appointment to the positions of University Professor and Distinguished Professor. The department criteria and standards must be consistent with the college and campus policies.

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

No later than September 1 of each year, each faculty member must receive written notification of the review schedule, criteria, procedures, instruments, and assignments for the current year as outlined in the current Faculty Handbook of the University.

A program of active scholarship and effective teaching is considered essential. Each faculty member on appointment in the College of Engineering is expected to engage in a program of personal scholarship and to be active in the professional societies of his/her academic discipline.

I. INITIAL APPOINTMENT

Faculty are employees who hold academic rank of Instructor, Assistant Professor, Associate Professor, Professor, Distinguished Professor, University Professor, or one of the above titles modified by, Research, Adjunct, Visiting, or Emeritus, e.g., Research Professor, Adjunct Assistant Professor (Faculty Handbook, Revised June 1997).

The awarding of rank at initial appointment and/or after a period of service to the University shall be dependent upon prior professional experience and qualifications as well as board policies and general standards developed by the college and department faculty and stated herein.

The following professional standards and personal attributes are considered in hiring new faculty: aptitude for and interest in teaching; aptitude for and interest in research; aptitude for and interest in institutional, professional, and public service; professional goals and objectives of the candidate; compatibility between the candidate's personal goals and objectives and those of the College of Engineering; personal attributes such as working cooperatively and congenially with others (collegiality), and the ability to communicate in English.

A. Criteria for Initial Appointment to Tenure-track Positions

1. Assistant Professor

Appointment to an Assistant Professorship is based upon potential. A candidate for appointment to assistant professor should:
• Possess the earned terminal degree for his/her field or its equivalent in professional accomplishments.

• Have demonstrated a potential for initiative and leadership.

• Have the personal qualities, intellectual interests, and the technical competence required for effective teaching, creative research and distinguished service.

• Possess the enthusiasm and the capacity to motivate and inspire students.

• Have demonstrated the capacity for independent creative thinking.

• Indicate both the willingness and capability to participate as a respected colleague in deliberations concerning the department, the college, and the university.

2. Associate Professor

Appointment to the rank of Associate Professor is based upon demonstrated performance and future potential. The Associate Professorship is a high academic rank and appointment to this rank carries no assurance of further promotion. Appointment is based on the premise that the candidate will, in all probability, attain a high level of distinction during his/her professional career. A critical evaluation of teaching and professional growth is made at this point. In addition, demonstration of the ability to develop and conduct a sustained research program of national prominence is expected. Examples of demonstrated ability will usually include the securing of externally funded grants and/or contracts, refereed publications, and effective mentoring of undergraduate and graduate students.

A candidate for appointment to the rank of Associate Professor should:

• Satisfy the criteria for appointment as an Assistant Professor.

• Have had demonstrated and significant professional accomplishments in teaching, research and service, indicating that the candidate has the potential of becoming a nationally/internationally recognized scholar in his/her field.

• Have obtained professional registration, if deemed appropriate by his/her academic department.

• Demonstrate continuing professional growth and effective activity toward achievement of college and university goals.
3. Professor

Appointment to the rank of Professor is intended to recognize status as a mature, outstanding, and thoroughly productive scholar who has achieved a national/international reputation.

A candidate for appointment to the rank of Professor should:

- Satisfy the criteria for appointment as an Associate Professor.
- Have had demonstrated and significant professional accomplishments in teaching, research and service, indicating that the candidate has a mature, outstanding, and thoroughly productive scholar with a national/international reputation.

4. University Professor

Appointment to a University Professorship signifies a special honor conferred only upon active faculty of extraordinary merit who are widely recognized for their sustained excellence in scholarship, teaching, research, or creative activity germane to their respective disciplines and who have provided exemplary service to the university or to their profession or to the public through professional activity.

5. Distinguished Professor

A distinguished professorship at the University of Arkansas, Fayetteville, is to be reserved for those individuals who are recognized nationally and internationally as intellectual leaders in their academic disciplines for extraordinary accomplishments in teaching; published works, research, creative accomplishments in the performing arts; or in other endeavors, and who have gained such recognition for direction at this or another university prior to appointment as distinguished professor. The rank of Distinguished Professor is considered to be the highest faculty rank on this campus. Appointees at this rank must satisfy the same levels of accomplishment as faculty currently holding such a title in the College of Engineering. These criteria are found in section IV of this document.

B. Criteria for Recommending Tenure for Initial Appointments

An applicant for initial appointment with tenure must meet the requirements set forth in the criteria for appointment to the rank of Associate Professor or higher and show evidence of the ability to sustain performance at a high level. The criteria for recommending tenure at initial appointment or after a period of service to the university are identical.
C. Criteria for Initial Appointment to Non-Tenure Track and Professional Positions

The candidates for non-tenure track positions will normally possess education and experience levels as described in this section. Exceptions to the educational requirements stipulated for non-tenure track and professional appointments are allowed but must be approved by the faculty of the host department and by the Dean of the College of Engineering.

1. Instructor

A candidate for appointment to the position of Instructor should:

- Possess a Master’s degree from an accredited university in the area of specialization or the equivalent training as a Ph.D. candidate.
- Demonstrate expertise (college credit, experience, work products) in the area of specialization.
- Possess an aptitude for and interest in teaching in the area of specialization.

2. Research Assistant Professor

A candidate for appointment to the position of Research Assistant Professor should:

- Possess a doctoral (terminal) degree or equivalent credentials, qualifications, and experience in the appropriate discipline
- Demonstrate ability and experience in areas appropriate to the specific position.
- Show evidence of performance in research.

3. Research Associate Professor

A candidate for appointment to the position of Research Associate Professor should:

- Possess a doctoral (terminal) degree or equivalent credentials, qualifications, or experience in the appropriate discipline.
- Show evidence of sustained performance in research.
4. Research Professor

A candidate for appointment to the position of Research Professor should:

- Possess a doctoral (terminal) degree or equivalent credentials, qualifications and experience in the appropriate discipline.

- Show national and/or international recognition in the area of specialization and evidence of sustained performance in research.

5. Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor

These ranks are used for non-tenure track positions. They are used primarily for temporary, full-time appointments for one semester or one year for persons who meet the general criteria and standards for appointment to the corresponding rank without the prefix of “Visiting.” Appointments at these ranks are to be used to enrich the learning and research environment through temporary appointments of scholar-teachers who normally have permanent employment elsewhere.

6. Adjunct Instructor, Adjunct Assistant Professor, Adjunct Associate Professor, and Adjunct Professor

Adjunct instructors and professors are often added to the faculty to supplement the teaching or research capabilities of a department. Adjunct faculty may be added from outside the university or from other departments within the university, at a department’s discretion. Candidates for appointment to adjunct status must meet the general criteria and standards for appointment to the rank without the prefix “Adjunct.” Appointments must be renewed annually. Regardless of appointment length or rank, these appointments are not tenure track.

7. Emeritus Ranks

Emeritus ranks are conferred by the Board of Trustees according to board policies. Recommendations for appointments to emeritus ranks originate with departments, and a positive recommendation requires continuous service for an appropriate number of years as specified by Board Policy 475.1.

D. Procedures for Recommending Initial Appointment

1. Non-tenure track Appointments

Each department shall develop procedures for recommending to the Dean all non-tenure track appointments. These procedures will be part of the department’s personnel document.
2. Tenure-track/Tenured Appointments

**Assistant Professor Appointments**

For candidates proposed for appointment at the rank of Assistant Professor, the Department Head shall submit to the Dean evidence of potential teaching quality, research, and the candidate’s service record; at least three letters of reference; a complete vitae; and the department’s faculty (all tenured and tenure track) and his/her own recommendations. The Dean shall forward the recommendations of the department faculty and Department Head, after adding his/her recommendation, to the Provost. Upon authorization from the provost, the dean will send a letter of offer to the candidate.

**Appointments for Associate Professor, Professor and Distinguished Professor and Appointments with Tenure**

For candidates proposed for initial appointment as Associate Professor, Professor or Distinguished Professor and for appointments with tenure, the Department Head shall submit to the College of Engineering Promotion and Tenure Committee materials evidencing teaching quality; the research record; the service record; letters of reference; complete vitae; the department’s faculty (all tenure and tenure track) recommendation; a recommendation from the department’s personnel committee and his/her own recommendation. Tenure shall not be recommended at the rank of Assistant Professor.

Within five working days after receiving the department’s recommendation and supporting materials, the College of Engineering Promotion and Tenure Committee shall forward its recommendation to the Dean who shall in turn forward all recommendations, after adding his or her recommendation, to the Provost. Upon authorization from the provost, the dean will send a letter of offer to the candidate.

II. EVALUATION OF FACULTY

A. Annual Reviews

The Strategic Plan of the College of Engineering states that the faculty, staff and administration will “provide a student-centered educational experience that attracts diverse, high quality students, enables them to realize their potential, inspires them to pursue excellence at all degree levels, and grooms them to become leaders in their profession.” The performance of all faculty members in meeting this goal must be evaluated annually. The academic department shall be responsible for establishing and reviewing faculty performance criteria. Each department shall develop explicit criteria and procedures to review and evaluate their respective faculty and staff annually according to the guidelines
provided in this document. These performance evaluations are to be the basis of recommendations for reappointments, annual merit pay increases, promotion, and tenure.

1. Purposes

The faculty evaluation system in the College of Engineering at the University of Arkansas is designed to serve the following purposes:

a. Development

- To provide a means of encouraging excellence (teaching, research and other intellectual contributions, service, and other forms of scholarship) by recognizing, rewarding, and reinforcing meritorious performance.
- To create an environment in which faculty work together in a collegial manner.
- To provide information that can be used by the institution, the College, the Department, and the faculty member to improve performance.

b. Evaluation

- To serve as the basis for decisions about reappointments, merit salary increases, merit promotion, and tenure.
- To serve as a means for providing feedback to faculty regarding their performance.
- To provide a means whereby faculty assignments can be evaluated and equitably distributed.

c. Due Process

- To provide a means for protecting faculty from arbitrary actions, favoritism, and discrimination.
- To document compliance with university policy and thus provide protection for the individual and the institution.

2. Criteria and Standards

a. Faculty Workload Assignments as the Basis for Annual Evaluations

In pursuing the Mission and Strategic Plan of the College of Engineering, the overall departmental faculty efforts will be evaluated in the following proportions: teaching -
40 percent; research - 40 percent; and service - 20 percent. As long as these general proportions are attained by each department, duties may vary among individual faculty members. A 40 percent teaching assignment is generally three to four courses per year, with undergraduate and graduate student advisement responsibilities consistent with the College of Engineering Strategic Plan and with top 50 national programs. Annual evaluations should be based on performance in the areas of teaching, research, and service and weighted by the proportions in each area assigned to each faculty member’s academic (non-administrative) duties.

Each year, during the annual evaluation process, the workload assignment of each faculty member for the forthcoming year will be developed by the Department Head with input from the faculty member, consistent with the College and Departmental Strategic Plans. In addition to stating the faculty member’s assignments with respect to teaching, research and service duties, the workload assignment will reflect the development plan for the faculty member, to the extent possible, and will include the faculty member’s written statement of his or her goals with regard to teaching, research, and service. Faculty members who disagree with their assigned workload, as determined by the Department Head, may seek a review by the Dean. If such a review is requested, the Dean’s decision shall be final.

Untenured Assistant Professors in tenure track positions normally shall be assigned duties with greater emphasis on teaching and research and less emphasis on service in order to make progress toward promotion and tenure. This policy recognizes that the service requirement for Assistant Professors should be lower than average while they are developing their expertise in teaching and establishing a funded research program but they should be encouraged to develop national visibility through their research and professional service endeavors.

Tenured faculty may be assigned duties that encompass various combinations of teaching, research and service. It is recognized that circumstances may arise when a faculty member may be called upon to perform duties that will result in substantial deviations from the norm, for example, an off-campus duty assignment or a full-time research or teaching assignment.

Adjunct faculty and full-time or part-time instructors in non-tenure track positions normally shall be assigned duties that are primarily in the teaching area; however, their duties may include some service activities.

b. General Criteria for Conducting Annual Evaluations

Each academic department in the College of Engineering shall develop criteria that are to be used in conducting annual evaluations of its faculty. These criteria shall be approved as part of the department’s personnel document.
Annual evaluations are conducted by the Department Head and the department personnel committee, consistent with the provisions of the campus personnel document, and shall include an opportunity for the faculty member to meet with the Department Head prior to submission of the evaluation to the Dean. These evaluations shall include peer evaluation of each faculty member by the department personnel committee and student evaluation of each faculty member with a teaching assignment.

Evaluations shall be based on evidence of performance in the areas of teaching, research, and service that is provided by each faculty member in their Annual Faculty Performance Reports and supporting materials. Department Head evaluations shall include a critique of the faculty members performance and may also include observations of the faculty member’s activities such as observing the impact of the scholarly work on the discipline, the learning response of students in the classroom, or the value added by service activities.

Performance in each area of Teaching, Research, and Service shall be rated as one of the following:

- Excellent
- Good
- Acceptable
- Unsatisfactory

The specific criteria for each rating level will be defined by the department. Performing at the level of being good should not be construed as sufficient for the purposes of tenure or promotion.

Evaluating Overall Performance:

The overall evaluation rating should place each faculty member in one of the categories shown above. It is expected that the college-wide rating in each of the categories of teaching, research, and service will be between acceptable and good, that the majority of the faculty will receive the rating of good, a smaller percentage of faculty will receive the rating of excellent and an even smaller percentage will receive the rating of unsatisfactory.

Evaluation of Teaching:

Successful teaching at the university level includes the transmission of knowledge to learners and is marked by inspiring learners to inquire for themselves. Faculty members who excel in the transmission of knowledge demonstrate command of subject matter and present ideas clearly and in an organized way. They foster intellectual curiosity and encourage learners to challenge and exchange ideas. They
demonstrate concern and respect for the learners with whom they interact, both individually and in groups. They show and generate enthusiasm in subject matter and are recognized by their students and university colleagues as persons who guide and inspire the individuals whose lives they touch. Student-faculty contacts outside of the classroom, and guidance and supervision of graduate students are a valuable part of the educational experience. The transmission of knowledge includes instructional development such as textbooks, other instructional materials, use of technology, course development, and curriculum design. Furthermore, participation in education-focused conferences and forums and the securing of outside funding for laboratory and teaching enhancements are credited to the evaluation of teaching.

The teaching component of each faculty member’s workload assignment will be rated as one of the three categories listed above. The evaluation of teaching performance will be based on multiple but measurable factors as determined by each department. The measures shall include feedback from the students in the form of the course opinion surveys and comments from exit interviews. Mentoring of undergraduate student research, and MS and PhD students is considered as part of teaching contributions.

**Evaluation of Research:**

Research includes the production and dissemination of knowledge. Research contributions are marked by the search for knowledge (including the discovery, re-conceptualization, synthesis, and application of knowledge) and the use of high standards of technical expertise, professional judgment, and intellectual honesty in the pursuit, creation, and application of knowledge. Faculty members who make research contributions of knowledge make original and useful contributions that are respected by their colleagues and peers, both within and outside of the university. Through their efforts, they foster or spark new research and have an impact on scholarship in their area of specialization. They are aware of new developments and strive to broaden and deepen their knowledge and understanding of their specialties and, where relevant, related fields. It includes both basic and applied research. Since the rating of each faculty member’s intellectual contributions depends on measures of both quality and productivity, each department shall develop an evaluation system that encompasses both.

The College of Engineering Strategic Plan defines research scholarship broadly to also include entrepreneurial activities. Specifically, the College recognizes the unique role it plays in the economic development of Arkansas through technology innovation. Thus, Research Scholarship includes activities associated with development of intellectual property. Participation in Small Business Innovative Research (SBIR) awards, Small Business Technology Transfer (STTR) awards, and similar university-industry bridging activities are included if based upon the faculty members’ own intellectual property. Patents and copyrighted products as measures of
intellectual property instruments are as important a measure of the productivity of the College as peer-reviewed publications and other more traditional forms of scholarship.

The departmental personnel committee and the department head have the responsibility of evaluating both the quality of the journals in which their faculty publish his/her research and the impact of the research. Journals should be identified by discipline in departmental documents as to their levels of rigor and influence in the respective field. Peer-reviewed publications are the standard minimum threshold for consideration of a publication as scholarship. Newspaper articles or materials, newsletters, fact sheets, brochures, magazines and similar publications are not generally recognized as scholarship; such items certainly are considered in the area of public service. Other forms of research scholarship include books, book chapters, patents, refereed papers in major conferences, etc.

The College of Engineering Strategic Plan also emphasizes the need for significant external funding from extramural competitive grants as necessary for building a successful research program. Since external funding can vary significantly from one field to another, the departments must consider this factor in making judgments regarding research productivity. The departments are encouraged to develop benchmarks by comparing their levels of funding with peer institutions.

**Evaluation of Service:**

Service encompasses institutional, public, and professional service. Institutional service pertains to contributions to the successful functioning of the university at all levels. In addition to responsibilities in the areas of the production, transmission, and application of knowledge, faculty members are frequently called upon to engage in a variety of activities necessary for maintaining institutional vitality. Faculty members who excel in institutional service participate effectively in faculty governance and in the formulation and implementation of department, college, and university policies. They take their service responsibilities seriously and apply their creative energies to the identification and solution of problems or institutional functioning at various levels. They work collaboratively and cooperate with other faculty and administrators and assume an appropriate share of the institutional work for which the faculty is responsible. They demonstrate leadership and initiative and express a spirit of helpfulness. Faculty members who excel at institutional service take on institutional tasks to further the collective good of the unit, department, college, or university. Advising students regarding curriculum and career matters is a responsibility that should be explicitly recognized as an integral part of institutional service.

Public service consists of those professional activities, consistent with the university and college’s mission, that contribute to the public welfare or common good through
the application of the expertise and skills of its faculty to solving real world
problems. Public service activities include teaching non-credit courses; the analysis
of problems, opportunities, or issues of demonstrable relevance to the mission of the
College of Engineering or university; and consultation and technical assistance. It
may also be demonstrated by contributions to the economic development of the state
and region.

Professional service contributes to the advancement of the discipline and
professional practice. It may take the form of participation and leadership in
regional, national, or international academic or professional organizations.
Professional service also includes extending the impact of the College of Engineering
beyond the campus in other ways consistent with its mission.

The evaluations of the service component should take into consideration the
magnitude and importance of each service activity, and the magnitude of time and
effort that must be devoted to each. These considerations are especially important in
evaluating various forms of institutional service—e.g., committee work. Some
committees require substantial amounts of time and effort while others demand only
minimal amounts of time and effort. Generally, a rating of Excellent for service
would be reserved for exceptional institutional, professional, and/or public service.

3. Procedures for Annual Reviews

Annual reviews are the primary comprehensive measure of faculty performance, and
should be given due importance. Because reappointment, merit salary increases, merit
promotion, and tenure are based on the accumulated annual reviews of a faculty, it is
imperative that the evaluation standards be applied as fairly and consistently as possible
throughout the College of Engineering. Each department in its personnel document shall
describe the role of the departmental personnel committee in the annual review process.

Each untenured faculty member must have a professional development plan on file (such
as one required for NSF’s CAREER award) and be able to demonstrate satisfactory
progress on the professional development plan to the departmental personnel committee
and the department head. Tenured faculty members will be evaluated annually on the
basis of their contributions to teaching, research and service, and will consider progress
toward the faculty member’s stated annual goals.

B. Reappointments

The Department Head is responsible for initiating and conducting the evaluation of each
faculty member in his/her department, and for initiating the process of deciding whether to
recommend reappointment of each non-tenured (but tenure-track) faculty member. The
Department Head’s recommendation regarding reappointment is to be made only after
consultation with the Department Personnel Committee and with the faculty member
involved. In all cases, the recommendation of appointment or non-reappointment shall be made on the basis of annual reviews, and the faculty member’s professional development plan except in the case of the 3rd year critical review for which the process is described in Section C below. The schedule of the reviews is outlined in Table 2.

C. Third Year Critical Review

As part of the process to provide non-tenured tenure-track faculty members guidance and assistance in their professional development and academic responsibilities, a review of their professional performance and progress towards tenure will be conducted in the third full year of service. Each pre-tenure candidate will prepare a dossier in the same manner as promotion and tenure candidates, except that external letters will not be solicited. As with promotion and tenure candidates, dossiers from the 3rd year pre-tenure candidates will also be submitted to the College Tenure and Promotion Committee for review and recommendation. This review is in addition to the annual review by the Department Head. The purpose of the review will be to assess the candidate’s progress toward a positive recommendation for tenure, consistent with the College’s Strategic Plan, and to provide him/her with advice and analysis resulting from the review. The results of pre-tenure review(s) provide(s) a foundation for non-reappointment decisions and for future deliberations on awarding tenure. Subject to all applicable Board and campus policies, the review will result in one of following outcomes:

a. Satisfactory progress toward tenure and reappointment for a 4th year.

b. Satisfactory progress but with identified areas requiring improvement leading to reappointment for a 4th year with mandatory mentoring. The mentoring will be conducted by the department head and a senior member of the department’s faculty.

c. Less than satisfactory progress and in need of warning, leading to reappointment for a 4th year with a requirement for another critical review in the 4th year which will be the basis for consideration for reappointment for the 5th year.

d. A recommendation for non-reappointment, with the 4th year as terminal year. Any recommendation for non-reappointment must follow the procedure described in Section IV.B of Board Policy 405.1.

The process of the Third Year Critical Review is described in detail below. The review shall be conducted during the second semester of the third year of tenure track appointments. The date shown below is the latest time for each step to be completed:

1/31 Faculty member submits his/her dossier to the Department Head who reviews it for completeness. The dossier shall be consistent in content and format with that for tenure and shall include (1) all previous annual evaluations; (2) a personal statement that discusses teaching, research, and service accomplishments; and (3)
a personal development plan for the next three years. External letters of evaluation are not required.

2/15 The Department Head submits the dossier to the Chair of the Department’s Personnel Committee.

2/28 The Departmental Personnel Committee submits to the Department Head a written report evaluating the faculty member’s overall progress toward tenure, specifically commenting on the past performance record of teaching, intellectual contributions, and service. An evaluation of the faculty member’s personal development plan for the next three years must be included along with a statement indicating whether the cumulative record and the faculty member’s plans reflect the potential to meet or exceed the criteria for tenure. Due to the developmental aspect of this review, both areas of excellence and areas needing improvement are to be identified within the written report, along with suggested plans of action to address the areas needing improvement. The report should also discuss how the faculty member’s contributions advance the department’s strategic plan.

3/15 The Department Head prepares a report concurring with or dissenting from the Department Personnel Committee review report and the basis for the recommendations. The Department Head meets with the faculty member and provides him or her with a copy of both reports and discusses both reports with the faculty member. The faculty member may forward to the Department Head a written response to the reports within five days of meeting with the Department Head.

3/31 The Department Head submits the faculty member’s dossier, the Departmental Personnel Committee and Department Head reports, and the faculty member’s response, if applicable, to the College of Engineering Promotion and Tenure Committee.

4/10 The College of Engineering Promotion and Tenure Committee prepares a report concurring with or dissenting from the departmental reports and submits a copy of all reports to the Dean, including the faculty member’s response to the departmental reports, if applicable. This report should include recommendations and suggestions on strategies that the candidate should consider to strengthen his/her future contributions and record of achievements.

4/20 The Dean prepares a statement to be given to the faculty member that reflects the feedback from the process, noting areas of excellence, identifying performance areas needing improvement, and communicating the final outcome of the review. If the third year review results in non-reappointment, the Dean shall notify the faculty member in accordance with the provisions of Board Policy 405.1.
The written feedback by the Department Promotion/Tenure Review Committee, the Department Head, the College of Engineering Promotion and Tenure Committee, the Dean, and the faculty member’s response, if any, shall become a part of the faculty member’s personnel record.

D. Post-Tenure Review

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

When the annual review of a tenured faculty member results in an overall rating of “unsatisfactory” in two consecutive annual reviews, or three of five consecutive annual reviews, a professional development plan (PDP) for correcting the deficiencies in performance must be prepared by the faculty member. Within three months (providing time for the faculty member to file grievances for the unsatisfactory ratings if desired), the Department Head shall notify the faculty member in writing that a “professional development plan” must be activated. The PDP will include recommendations regarding correction of deficiencies from the faculty member’s Department Head in consultation with the Departmental Personnel Committee, in accordance with annual review criteria, procedures, and standards of satisfactory performance as determined at the department and the college level. The PDP will be submitted by the Department Head to the College of Engineering Promotion and Tenure Committee for review and comment, and then submitted to the Dean for approval.

The professional development plan is a process for improving the faculty member’s performance of his/her academic responsibilities in teaching, and/or research and creative activities, and/or service in a period of three years, or less if the faculty member requests it. In the case of extenuating circumstances as defined in Section IV.A.4 of Board Policy 405.1, the faculty member may request an extension of the faculty development plan period by one year. The professional development plan is prepared by the faculty member, the Department Head, and the Department Personnel Committee, with the consultation and approval of the Dean. Among options for the professional development plan are (1) change in assignment more appropriate to existing skills; (2) establishment of expertise in an area through scholarly activity; (3) taking a leave of absence to obtain new skills or update existing skills; and (4) a plan of improvement in teaching, research, and/or creative activities, and service.

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

III. PROMOTION AND TENURE

A. Criteria and Standards for Promotion and Tenure

Each department shall adopt criteria and standards for the granting of tenure and for promotion to each rank. These criteria must be approved by the Dean, the Provost, the Chancellor, and the President. The criteria and standards adopted shall be consistent with board polices and the following criteria and standards.

1. Criteria

Recommendations for promotion, and/or tenure shall be based on criteria consistent with the Mission and Strategic Plan of the College of Engineering and related to a candidate’s appointment responsibilities and activities in the following three areas: teaching, research, and service. High levels of performance in each of these three areas as well as collegiality and continuous improvement are expected. The types of activities included were previously described in Section II.A.2.b of this document.

2. Standards for Promotion and Tenure of Tenure-Track Faculty

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

a. Promotion to Associate Professor

A candidate for promotion to the rank of Associate Professor should:

- Satisfy the criteria for appointment as an Assistant Professor.

- Have had significant, relevant, professional accomplishment in research and at least one of the two remaining areas of teaching and service, while having at least satisfactory performance in the remaining area, which indicates that the candidate is moving toward a leadership role in his/her field.
• Have obtained professional registration, if deemed appropriate by his/her academic department.

• Demonstrate continuing professional growth and effective activity toward achievement of departmental goals.

b. Promotion to Professor

Promotion to the rank of Professor is intended to recognize status as a mature, excellent, and thoroughly productive scholar.

Promotion to this rank requires that the individual be of such stature as to be recognized by professional peers as an authority in his/her field of specialization. It is also expected that important and recognized contributions will have been made in the areas of teaching, research, and professional or public service.

c. Tenure

Candidates for tenure shall have a sustained record of achievement in both teaching and research; merely good or acceptable performance is not considered sufficient for a favorable tenure decision. The candidate shall also have fulfilled the College's expectations for institutional service. Attainment of tenure requires excellent performance in teaching and research/creative activity with a clear indication that such a performance level will be maintained over a career as a faculty member at the University and that the performance has the potential to make a national impact.

Tenure shall not be recommended for an Assistant Professor without a positive recommendation for promotion to Associate Professor.

B. Procedures

1. Faculty Committees

a. Each department shall establish procedures for the formation of a Departmental Personnel Committee to perform the duties specified in all sections of this document. The procedures for election and the committee’s responsibilities will be clearly documented. Furthermore, this committee will be considered the department’s unit committee pursuant to University policy.

b. The College of Engineering shall establish a standing Promotion and Tenure Committee to perform the duties specified for the committee in this document. The committee shall be comprised of one tenured faculty member, other than the Department Head, elected by the entire tenured and tenure-track faculty from each department for a three year term. Terms shall be staggered with the terms of two
members expiring each year. The committee shall elect its chair from its membership.

c. When a Department Head is being considered for promotions and/or tenure, the Dean shall appoint a faculty member outside the department to chair the proceedings and serve all roles designated for the Department Head in what follows. Otherwise, the procedures will be the same as those for any faculty member.

2. Nomination

a. Departmental Nomination

Each department is encouraged to develop policies and procedures for (1) inviting faculty members to submit documentation for consideration for nomination for promotion and/or tenure, and for (2) giving feedback to candidates who request it. The fact that a faculty member was or was not nominated for promotion/tenure shall not be prejudicial in later promotion/tenure determinations.

b. Self-Nomination

Faculty members (whether previously nominated or not) who wish to be considered for promotion and/or tenure shall notify the Department Head in writing no later than September 1 of the academic year in which they wish to be considered; such a request shall be honored by the Department Head.

c. Notification

By September 1 of each year, each faculty member shall be informed in writing by the chairperson of the annual review schedule, criteria, procedures, requirements, and instruments for the current year. In order to obtain essential outside evaluations, Department Heads shall begin these discussions with individual faculty earlier than September 1.

3. Dossier Preparation

Each faculty member who wants to be considered for promotion and/or tenure must submit materials according to the University’s Faculty Review Checklist in the Faculty Handbook. Each Department Head shall assure that the original submissions follow this form.

To facilitate a thorough and fair evaluation, the candidate and Department Head should take the necessary steps to insure that the file of supporting material is as complete as possible.
The dossier prepared by the faculty candidate must include a two-page summary document highlighting the salient points of the tenure and promotion application. Faculty candidates are advised to include quantitative data in the document which provide a comprehensive global summary of the information detailed in subsequent sections of the packet.

4. Outside Evaluation

The campus *Evaluative Criteria* document specifies the number (a minimum of 3) and type of external evaluations to be included in the candidate’s dossier and the process to be followed.

In addition to those provisions, the College of Engineering establishes *additional* provisions for this process as follows: The Department Head shall solicit 3-5 evaluation letters from individuals from peer institutions and/or industrial/national laboratories based on their recognized expertise in the candidate’s field and their ability to provide objective, unbiased evaluations of the candidate’s work. A minimum of three of these letters must be solicited from peer academic programs. During the outside reviewer selection process, outside reviewers suggested by the candidate will be considered. The chairperson will notify the candidate in writing of the names of those chosen to be invited to review the candidate’s materials. If the candidate wishes to submit comments on the qualification of any of the reviewers, he or she must do so within five working days after receipt of the names. External reviewers from academic institutions will be at least one rank above the candidate. Letters shall not be solicited from reviewers who have a clear conflict of interest (former advisor, advisee, research sponsor, etc.).

The Department Personnel Committee (also called the Unit Committee) “recommends” or “does not recommend” candidates for promotion and/or tenure with justification. The written recommendation and the rationale, along with the committee’s vote count, are forwarded to the candidate, the Department Head and to the department’s tenured faculty.

The Department Personnel Committee makes available to the tenured faculty the complete file of materials pertaining to the candidate. After both meeting and voting independently of the Department Head, the tenured faculty shall make its recommendation and recorded vote in writing and forward it to the Department Head and to the candidate.

After review of all materials, the Department Head shall notify the candidate of his or her recommendation and the basis for it. The dossier and recommendations and all votes are next forwarded to the Dean’s office for evaluation by the College of Engineering Promotion and Tenure Committee. Prior to the time the Department Head forwards the nomination to the Dean, the candidate may withdraw from further consideration. Such withdrawal shall be in writing to the Department Head.
Upon receiving each nomination, the Dean shall provide the College of Engineering Promotion and Tenure Committee with all materials submitted by the Department Head together with the recorded votes and rationale of both the promotion/tenure review committee and the tenured faculty. The Promotion and Tenure Committee shall make its recommendation in writing and forward it to the Dean along with a written statement of the committee’s rationale for its recommendation. The Committee shall also report its vote count to the Dean. The Committee shall send a copy of its recommendation and statement of rationale to the candidate and the Department Head.

If the candidate does not agree with the College of Engineering Promotion and Tenure Committee, he or she may provide the Dean with a written response and may also request a hearing with the Dean. Any response and/or hearing request must be submitted within seven working days of receipt of the committee’s recommendations.

The Dean shall provide a draft of his or her recommendation to the candidate. The candidate may provide a response to the Dean’s draft recommendation within five working days. The dean’s draft recommendation and the candidate’s response to that draft recommendation will not be a part of the dossier.

A copy of the Dean’s final recommendation will be provided to the candidate who may submit a revised response for submission to the Provost. The candidate may withdraw the response to the draft recommendation prior to submission to the Provost. Such withdrawals shall be in writing to the Dean.

Each nomination shall be forwarded by the Dean to the Provost in writing and shall be accompanied by the recommendations, rationales, and recorded votes of the Department Chair, the department promotion/tenure committee, the department’s tenured faculty, the college’s Promotion and Tenure Committee, and the Dean. The Dean will inform the candidate of his or her recommendation prior to forwarding the final statement of recommendation to the Provost.

C. REAPPOINTMENT OF NON-TENURE TRACK FACULTY

1. Process for Reappointment of Non-Tenure Track Faculty at a Higher Rank

When a Department Head proposes to reappoint a non-tenure track faculty member at a higher rank when there has been no break in service, the following process shall be observed.

a. The candidate for reappointment is notified of the proposed appointment rank and is requested to prepare a dossier paralleling that for tenure track faculty but focusing only on the assigned expectations for the faculty member. Upon completion, the dossier is reviewed by the Department Head for completeness. External letters are not required.
b. The dossier is transmitted to the Departmental Personnel Committee for review. The department may add other individuals to the committee for this purpose. The committee “recommends” or “does not recommend” candidates for reappointment at the proposed rank.

c. The written recommendation and the rationale, along with the Departmental Personnel Committee’s vote count, are forwarded to the candidate and the Department Head. The Department Head transmits his/her recommendation with that of the Departmental Personnel Committee and the Committee’s vote to the Dean. A copy of the Department Head’s recommendation shall be supplied to the candidate.

d. The Dean shall transmit his/her recommendation, along with the recommendations and vote of the Departmental Personnel Committee and the Department Head, to the Provost. A copy of the Dean’s recommendations shall be provided to the candidate and the Department Head. The Provost will approve or disapprove and forward the decision to the Dean and the candidate.

e. The candidate may withdraw the recommendation at anytime during the process.

f. Appointment to a higher rank does not otherwise change the nature of the one year non-tenure track appointment.

2. Tentative commitments may be made for successive appointments for up to five-years-contingent upon need for services, availability of funds, satisfactory performance, and service-to non-tenure full-time faculty members who have at least five years of continuous satisfactory service in the same instructional position. When such commitments are made, priority will be given to academically qualified faculty in fulfillment of accreditation standards.

IV. APPOINTMENTS TO UNIVERSITY AND DISTINGUISHED PROFESSORSHIPS

A. University Professor

A university professorship is a distinction bestowed upon active faculty who are widely recognized for their sustained excellence in scholarship, teaching, research, or creative activity germane to their respective disciplines and who have provided exemplary service to the university or to their profession or to the public through professional activity. Appointment to a university professorship signifies a special honor conferred only upon active faculty of extraordinary merit.
To be eligible for appointment to University Professor, the candidate must have developed a reputation of excellence in his/her assigned duties which would ordinarily include teaching, research, and public service in her/his professional specialty, demonstrated professional leadership within the respective disciplines through service to professional societies, and demonstrated a clear understanding of and dedication to the teaching, research, and service roles of a university. Appointees must have achieved outstanding performances in teaching, research, and professional and public service.

B. Distinguished Professor

A distinguished professorship is to be reserved for those individuals who are recognized nationally and internationally as intellectual leaders in their academic disciplines for extraordinary accomplishments in teaching; published works, research, creative accomplishments in the performing arts; or in other endeavors, and who have gained such recognition for distinction at this or another university prior to appointment as distinguished professor.

Appointment to a distinguished professorship shall be made only when clear indication exists that individuals so appointed will provide exemplary academic and intellectual leadership and continue their professional activities in such a way as to maintain national and international recognition and a commensurate level of accomplishment. The rank of Distinguished Professor is considered to be the highest faculty rank on this campus. Appointees at this rank must satisfy the criteria for appointment as Professor with the additional requirement that the candidate must have an established national/international reputation, which is generally demonstrated by national/international awards or by other tangible evidence of stature.

C. Procedures

The procedures for recommending candidates for appointment to university and distinguished professorships shall be the same as for promotion and/or tenure with the following exception. The department recommendation will be considered by the College of Engineering’s Honors and Awards Committee consisting of the most distinguished college faculty in place of the College P&T Committee. This committee will make its recommendation to the Dean for further consideration.

V. APPEAL PROCEDURES

A faculty member having a grievance should refer to the appropriate section of the University of Arkansas Faculty Handbook for procedural instructions and information regarding appeal procedures.
VI. ANNUAL EVALUATION PROCEDURES: NON-CLASSIFIED STAFF

A. Annual Review

The performance of non-classified staff shall be reviewed on an annual basis by the appropriate supervisor and/or administrator. Subject to all other University policies, the annual review shall provide a basis for assessment pertaining to successive appointments, merit pay increases, work assignments, and termination. The period covered by the review is the calendar year – January 1 through December 31. Administrative staff should have explicit annual workload assignments with formal updates as necessary.

B. Criteria and Procedures for Annual Review

The criteria by which individuals shall be reviewed are in the area of performance and are reflected in the Non-Classified Staff Evaluation Form. Each staff member will present to his or her supervisor by January 15 a written summary of general duties, a narrative self-evaluation of performance during the year being reviewed (including specific accomplishments, areas for improvement, and any job-related course work completed), and a blank performance evaluation form.

The supervisor will complete the appraisal form and discuss the evaluation with the employee. The employee may add comments if desired after the evaluation. The completed evaluation should be signed by both employee and supervisor, and then submitted to the appropriate department head for review and signature. The supervisor may seek out additional performance evaluations as appropriate.

C. Termination of Employment

Termination of employment of non-classified staff, including requirements governing notice periods, is governed by Board of Trustees Policy 405.4 and by the University of Arkansas Staff Handbook.

VII. REVIEW OF PERSONNEL DOCUMENT

The Personnel Document, including the faculty personnel policies and criteria and standards for annual review of faculty performance, promotion, and tenure, shall be reviewed at least every three years by the Promotion and Tenure Committee and the Dean. The purposes of such periodic reviews are to insure that the provisions of the document are consistent with the College of Engineering’s mission and University of Arkansas policies and procedures. All amendments to this document shall be submitted to the faculty for approval and in turn approved by the Dean, the Provost, the Chancellor, and the President.