

## II

### RELATION OF THE FACULTY MEMBER TO THE UNIVERSITY

In keeping with the purpose of the University as stated in the catalog and with the relevant aims of higher education in state-supported colleges and universities, Arkansas Tech University subscribes to the principles of academic freedom and of academic tenure. The following "Regulations on Academic Freedom and Tenure," (based on "Recommended Regulations on Academic Freedom and Tenure," AAUP Bulletin, December, 1972), were approved by the Board of Trustees on April 15, 1976.

#### REGULATIONS ON ACADEMIC FREEDOM AND TENURE

These regulations are designed to enable Arkansas Tech University to protect academic freedom and tenure and the requirements of academic due process. The principles implicit in these regulations are for the benefit of all who are involved with or are affected by the policies and programs of the institution. A college or university is a meeting place of ideas, and it cannot fulfill its purposes of transmitting, evaluating, and extending knowledge if it requires conformity with any orthodoxy of content and method. In the words of the United States Supreme Court: "Teachers and students must always remain free to inquire, to study and to evaluate, to gain new maturity and understanding; otherwise our civilization will stagnate and die."

##### A. Statement of Terms of Appointment

1. The terms and conditions of every appointment to the faculty will be stated or confirmed in writing, and a copy of the written contract will be supplied to the faculty member. Any subsequent extensions or modifications of an appointment, and any special understandings, or any notices incumbent upon either party to provide, will be stated or confirmed in writing and a copy will be given to the faculty member.
2. With the exception of special appointments, defined as "non-regular" faculty in the "Classes of Academic Staff Positions" on page 34 of this handbook, or clearly limited as a part of the individual's contract, and reappointments of retired faculty members on special conditions, all full-time appointments to the rank of assistant professor or higher are of two kinds:
  - (a) Probationary appointments
  - (b) Appointments with tenure
3. Untenured persons with teaching or research appointments of any kind will be informed each year in writing of their appointment and, if "regular" faculty, of matters which may adversely affect their eligibility for the acquisition of tenure.
4. "Non-regular" faculty (as defined on page 34 of this handbook) and regular faculty at the rank of instructor will not be eligible for tenure.

## B. Initial Appointments and Tenure

1. Probationary appointments may be for one year or for other stated periods, subject to renewal. Appointments for the first six years of employment shall be probationary and carry no implication of tenure. Appointment to the seventh year of full-time employment without terminal notification, however, constitutes appointment with tenure. Those not to be retained on tenure shall be given a timely notice of non-reappointment in accordance with standards set forth herein. Faculty appointed prior to the adoption of this document may qualify for tenure under the terms of their original appointments.
2. At the time of initial appointment, faculty members will be advised of the criteria and procedures generally employed in decisions affecting renewal and tenure. Any special criteria adopted by the particular department or school will also be brought to the faculty member's attention. Faculty members will be advised of the time when decisions affecting renewal or tenure are ordinarily made, and will be given the opportunity to submit material which they believe will be helpful to the adequate consideration of their circumstances.
3. Regardless of the stated term or other provisions of any appointments, written notice that an initial probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of the appointment, as follows:
  - (a) By March 1 before the expiration of an individual's first-year probationary appointment;
  - (b) By December 15 before the expiration of an individual's second-year probationary appointment.
  - (c) At least twelve months before the expiration of a probationary appointment of an individual who has had two or more years of service at the institution.
4. When a recommendation or a decision not to renew a probationary appointment has first been reached, the faculty member involved will be informed of that recommendation or decision in writing by the body or individual making the initial recommendation or decision; and, if requested, the faculty member will be advised of the reasons which contributed to that decision. The faculty member may request a reconsideration by the recommending or deciding authority.
5. If the faculty member so requests, the reasons given in explanation of the non-renewal will be confirmed in writing.
6. Insofar as the faculty member alleges that the decision against renewal was based on inadequate consideration, the Faculty Welfare Committee, which reviews such faculty allegation, will determine whether the decision was the result of adequate consideration in terms of the relevant standards of the institution. The Faculty Welfare Committee will not substitute its judgment on the merits for that of the recommending or deciding authority. If the Faculty Welfare Committee believes that adequate consideration was not given to the faculty member's qualifications, it will request reconsideration by the recommending or deciding authority, indicating the respects in which it believes the consideration may have been inadequate. It will provide copies of its findings to the faculty member, the recommending or

deciding authority, and the President or other appropriate administrative officer. The Faculty Welfare Committee is a duly elected standing committee whose membership is determined by the faculty.

C. Termination of Appointment by the Faculty Member

A faculty member may terminate the appointment effective at the end of an academic year, provided that written notice is given at the earliest possible opportunity, but not later than thirty days after receiving notification of the terms of reappointment for the coming year. The faculty member may properly request a waiver of this requirement of notice in case of hardship or in a situation where substantial professional advancement or other opportunity would be denied.

D. Termination of Appointment by the Institution

1. Termination of an appointment with tenure, or of a special or probationary appointment before the end of the specified term, may be effected by the institution only for adequate cause.
2. If such termination takes the form of a dismissal, it will be pursuant to the procedure specified in Item E.
3. Where termination of an appointment with tenure, or of a nontenured appointment before the end of the specified term, is based upon bona fide financial exigency or discontinuance of a program or department of instruction, Item E will not apply; but faculty members shall be able to have the issues reviewed by the Faculty Welfare Committee, with ultimate review of all controverted issues by the governing board of the institution. In every case of financial exigency or discontinuance of a program or department of instruction, the faculty member concerned will be given notice or severance salary not less than that prescribed in Item H. Before terminating an appointment because of the abandonment of a program or department of instruction, the institution will make every effort to place affected faculty members in other suitable positions within the University. If an appointment is terminated before the end of the period of appointment, because of financial exigency, or because of the discontinuance of a program of instruction, the released faculty member's place will not be filled by a replacement within a period of two years in the case of financial exigency, or four years for the discontinuance of a program, unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.
4. Termination of a tenured appointment, or of a nontenured or special appointment before the end of the period of appointment, for medical reasons, will be based upon clear and convincing medical evidence. The decision to terminate will be reached only after there has been appropriate consultation and the faculty member or his/her representative has been advised of the basis of the proposed action, and has been afforded an opportunity to present his/her position and to respond to the evidence. If the faculty member so requests, the evidence will be reviewed by the Faculty Welfare Committee before a final decision is made by the governing board on the recommendation of the President of the institution.

## E. Dismissal Procedures

1. Adequate cause for a dismissal will be related, directly and substantially, to the fitness of the faculty member in the professional capacity of a teacher or researcher. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.
2. Dismissal of a faculty member with tenure, or with a special or probationary appointment before the end of the specified term, will be preceded by these steps in order:
  - (a) Discussions between the faculty member and appropriate administrative officers looking toward a mutual settlement.
  - (b) Informal inquiry by the duly elected Faculty Welfare Committee which may, failing to effect an adjustment, determine whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding upon the President.
  - (c) A statement of charges, framed by the President or the President's delegate.
3. A dismissal, as defined in Item E-1, will be preceded by a statement of reasons, and the individual concerned will have the right to be heard by the elected Faculty Welfare Committee. Members deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of a party or on their own initiative. Each party will have a maximum of two challenges without stated cause.
  - (a) Pending a final decision by the Faculty Welfare Committee, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to himself/herself or to others is threatened by the faculty member's continuance. Before suspending a faculty member, pending an ultimate determination of the faculty member's status through the institution's hearing procedures, the administration will consult with the Faculty Welfare Committee concerning the propriety, the length, and the other conditions of the suspension. Salary will continue during the period of the suspension.
  - (b) With the consent of the parties concerned, the Faculty Welfare Committee may hold joint pre-hearing meetings with the parties in order to perform the following:
    - (1) Simplify the issues;
    - (2) Effect stipulations of facts;
    - (3) Provide for the exchange of documentary or other information;
    - (4) Achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.
  - (c) Service of notice of hearing with specific charges in writing will be made at least twenty days prior to the hearing. The faculty member may waive a hearing or

may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges or asserts that the charges do not support a finding of adequate cause, the Faculty Welfare Committee will evaluate all available evidence and rest its recommendation upon the evidence in the record.

- (d) The Faculty Welfare Committee, in consultation with the President and the faculty member, will exercise its judgment as to whether the hearing should be public or private.
- (e) During the proceedings the faculty member will be permitted to have an academic advisor and other counsel of his/her own choice.
- (f) At the request of either party or the Faculty Welfare Committee, a representative of a responsible educational association shall be permitted to attend the proceedings as an observer.
- (g) At the faculty member's request, a verbatim record of the hearing or hearings will be taken and a copy will be made available to the faculty member without cost.
- (h) The burden of proof that adequate cause exists rests with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
- (i) The Faculty Welfare Committee will grant adjournments to enable either party to investigate evidence to which a valid claim of surprise is made.
- (j) The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the Faculty Welfare Committee in securing witnesses and making available documentary and other evidence.
- (k) The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the committee determines that the interests of justice require admission of their statements, the committee will identify the witnesses, disclose their statements, and if possible provide for interrogatories.
- (l) In the hearings of charges of incompetence, the testimony shall include that of faculty members from this and other institutions of higher education.
- (m) The Faculty Welfare Committee will not be bound by strict rules of legal evidence, and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
- (n) The findings of fact and the decision will be based solely on the hearing record.
- (o) Except for such simple announcements as may be required covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as

possible until the proceedings have been completed, including consideration by the governing board of the institution. The President and the faculty member will be notified of the decision in writing and will be given a copy of the record of the hearing.

- (p) If the Faculty Welfare Committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the President. If the President rejects the report, he/she will state the reasons for doing so, in writing, to the Faculty Welfare Committee and to the faculty member, and provide an opportunity for response before transmitting the case to the governing board. If the Faculty Welfare Committee concludes that adequate cause for a dismissal has been established, but that an academic penalty less than dismissal would be more appropriate, it will so recommend, with supporting reasons.

#### F. Action by the Governing Board

If dismissal or other severe sanction is recommended, the President will on request of the faculty member, transmit to the governing board of the institution the record of the case. The governing board's review will be based on the record of the committee hearing, and it will provide opportunity for argument, oral or written or both, by the principals at the hearings or by their representative. The decision of the Faculty Welfare Committee will either be sustained, or the proceeding returned to the committee with specific objections. The committee will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The governing board will make a final decision only after study of the committee's reconsideration.

#### G. Procedures for Imposition of Sanctions other than Dismissal

1. If the administration believes that the conduct of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify imposition of a severe sanction, such as suspension from service for a stated period, the administration may institute a proceeding to impose such a severe sanction; the procedures outlined in Item E shall govern such a proceeding.
2. If the administration believes that the conduct of a faculty member justifies imposition of a minor sanction, such as a reprimand, it shall notify the faculty member of the basis of the proposed sanction and provide the faculty member with an opportunity to persuade the administration that the proposed sanction should not be imposed. A faculty member who believes that a major sanction has been incorrectly imposed under this paragraph, or that a minor sanction has been unjustly imposed, may, pursuant to Item M, petition the Faculty Welfare Committee for such action as may be appropriate.

#### H. Terminal Salary or Notice

If the appointment is terminated, the faculty member will receive salary or notice in accordance with the following schedule: at least three months, if the final decision is reached by March 1 of the first year of probationary service; at least six months, if the decision is reached by December 15 of the second year of probationary service; at least one year, following the expiration of the current contract, if the decision is reached after eighteen months of probationary service or if the faculty member has tenure. This

provision for terminal notice or salary need not apply in the event that there has been a finding that the conduct which justified dismissal involved moral turpitude. On the recommendation of the Faculty Welfare Committee or the President, the governing board, in determining what, if any, payments will be made beyond the effective date of dismissal, may take into account the length and quality of service of the faculty member.

#### I. Academic Freedom

All members of the faculty, whether tenured or not, are entitled to academic freedom as set forth in the 1940 "Statement of Principles on Academic Freedom and Tenure," formulated by the Association of American Colleges and the American Association of University Professors. Faculty members are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As learned persons and as educational officers, they should remember that the public may judge the profession and the institution by their actions and utterances. Therefore, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others, and should make every effort to indicate that they are not an institutional spokesman.

#### J. Reappointment of Nontenured Faculty

If a faculty member on probationary or other non-tenured appointment alleges that a decision for non-reappointment was based significantly on considerations violative of academic freedom or governing policies on making appointments without prejudice with respect to race, sex, religion, or national origin, the allegation will be given preliminary consideration by the Faculty Welfare Committee, which will seek to settle the matter by informal methods. The allegation shall be accompanied by a statement that the faculty member agrees to the presentation, for the consideration of the Faculty Welfare Committee, of such reasons and evidence as the institution may allege in support of its decision. If the difficulty is unresolved at this stage, and if the committee so recommends, the matter will be heard in the manner set forth in Items E and F, except that the faculty member making the complaint is responsible for stating the grounds upon which the allegations are based, and the burden of proof shall rest with the faculty member. If the faculty member succeeds in establishing a prima facie case, it is incumbent upon those who made the decision for non-reappointment to come forward with evidence in support of their decision.

#### K. Administrative Personnel

The foregoing regulations apply to administrative personnel who hold academic rank, but only in their capacity as faculty members. Where an administrator alleges that a consideration violative of academic freedom significantly contributed to a decision of termination of an appointment to an administrative post, or of non-reappointment, the individual is entitled to the procedures set forth in Item J.

#### L. Political Activities of Faculty Members

Faculty members, as citizens, are free to engage in political activities. Where necessary, leaves of absence may be given for the duration of an election campaign or a term of office, on timely application, and for a reasonable period of time. The terms of such leave of absence shall be set forth in writing, and the leave will not affect unfavorably the

tenure status of a faculty member, except that time spent on such leave will not count as probationary service unless otherwise agreed to.

#### M. Grievance Procedures

Any faculty member who feels that there is cause for grievance in any matter not covered by the procedures described in this document may petition the elected Faculty Welfare Committee for a hearing. The petition shall set forth in detail the nature of the grievance and shall state against whom the grievance is directed. It shall contain any factual or other data which the petitioner deems pertinent to the case. The committee will have the right to decide whether or not the facts merit a detailed investigation. If it is deemed appropriate, the Faculty Welfare Committee will appoint from its body an ad hoc grievance committee to investigate and recommend. Submission of a petition will not automatically end in investigation or detailed consideration thereof. The committee may seek to bring about a settlement of the issue satisfactory to the parties. If in the opinion of the Faculty Welfare Committee such a settlement is not possible or is not appropriate, the committee will report its findings and recommendations to the petitioner and to the appropriate administrative officer or officers and appropriate faculty, and the petitioner will, upon request, be provided an opportunity to present the case to them.

#### N. Interpretation

The Faculty Welfare Committee shall decide any controversies arising from disputed interpretation of this document.

### POLICY ON NON-DISCRIMINATION

Arkansas Tech University does not discriminate on the basis of race, color, sex, national origin, or disability in any of its policies, practices, or procedures. This includes, but is not limited to admissions, employment, financial aid, and educational services. Arkansas Tech University complies with all applicable state and federal laws including, but not limited to: Title VI and Title VII of the Civil Rights Act of 1964, as amended; the Age Discrimination in Employment Act of 1967, as amended; Title IX of the Educational Amendments of 1972; Section 504 of the Rehabilitation Act Amendments of 1974; the Civil Rights Restoration Act of 1987; the Americans with Disabilities Act of 1990; the Civil Rights Act of 1991; and the Family and Medical Leave Act of 1993.

### BOARD COMMITMENT TO EQUAL EMPLOYMENT OPPORTUNITY

The following policy statement was approved by the Arkansas Tech University Board of Trustees on July 16, 1992:

The Board of Trustees of Arkansas Tech University is fully committed to equal employment opportunity for all employees without regard to race, color, religion, sex, national origin, age, or qualified disability. In addition, the Board strongly emphasizes the need for aggressively pursuing the recruitment of minority faculty and staff in all units of the University.

## \*POLICY ON SEXUAL HARASSMENT

It is the policy of Arkansas Tech University to maintain the University community as a place of work and study for staff, faculty, and students free of harassment, including sexual and gender harassment and all forms of sexual intimidation and exploitation. All students, staff, and faculty should be aware both that the University is concerned and prepared to take action to prevent and correct such behavior.

Sexual harassment by any faculty, staff or student is a violation of both law and University policy and will not be tolerated at Arkansas Tech University. The University considers sexual harassment to be a very serious issue and shall subject the offender to dismissal or other sanctions following the University's investigation and substantiation of the complaint and compliance with due process requirements.

The determination of what constitutes sexual harassment will vary with the particular circumstances, but it may be generally described as repeated and unwanted sexual behavior, such as physical contact and verbal comments or suggestions that adversely affect the working or learning environments of others.

EEOC Guidelines define sexual harassment as unwelcome sexual advances, request for sexual favors, and other verbal or physical conduct of a sexual nature when:

1. Submission to such conduct is either explicitly or implicitly made a condition of an individual's employment with the University or a factor in the educational program of a student; and/or
2. Submission to or a rejection of such conduct by an individual is used as the basis for an employment or academic decision affecting such individuals; and/or
3. Such conduct has the purpose or effect of substantially interfering with an individual's right to achieve an educational objective or to work in an environment free of intimidation, hostility, or threats stemming from acts or language of a sexual nature.

Although sexual harassment most frequently occurs when there is an authority differential between the persons involved (Faculty member and student, supervisor and staff member), it may also occur between persons of the same status (e.g. faculty-faculty, staff-staff, student-student). Both men and women may be victims of sexual harassment and sexual harassment may occur between individuals of the same gender.

Because of the unique situations which exist between students, faculty, supervisors and staff, relationships in the workplace and on campus should at all times remain professional. In particular, due to the professional power differential between faculty and students, faculty members are encouraged to remain professional in all relationships with students. As teachers, professors encourage the free pursuit of learning by their students. They hold before them the best scholarly standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students reflects each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

\*Approved Board of Trustees 6/24/06

Sexual harassment may create a hostile, abusive, demeaning, offensive or intimidating environment. It is manifested by verbal or physical actions, including gestures and other symbolic conduct. Sexual harassment is not always obvious and overt; it can also be subtle and covert. A person who consents to sexual advances may nevertheless be a victim of sexual harassment if those advances were unwelcome.

If a professor's speech or conduct takes place in the teaching context, it must also be persistent, pervasive and not germane to the subject matter. The academic setting is distinct from the workplace in that wide latitude is required for professional judgment in determining the appropriate content and presentation of academic material.

Examples of sexual harassment may include, but are not limited to the following:

- Verbal abuse of a sexual nature, which is considered to include, but is not limited to epithets, derogatory comments, sexual advances, invitations, propositions, comments, or requests for sexual favors;
- Intimate unwelcome physical contact;
- Repeated unwanted discussions of sexual matters;
- Use of sexual jokes, stories, analogies or images which are not related to the subject of the class or work situation;
- Ogling, leering, or prolonged staring at another person's body;
- Display or use of sexual graffiti or sexually-explicit pictures or objects;
- Sexually suggestive jokes, comments, e-mails, or other written or oral communications;
- Condition, explicitly or implicitly, academic or employment decisions upon an individual's submission to requests for sexual favors or conduct.

Individuals who are aware of or have been subjected to sexual harassment are encouraged to promptly contact the Affirmative Action Officer.

### **Resolution Options**

The University provides two options for reporting and resolving matters involving sexual harassment: an informal resolution process and a formal complaint process. An individual who believes that he or she has been subjected to sexual harassment and seeks to take action may use the informal resolution process, the formal complaint process, or both. First use of the informal resolution process will, in most cases, be consistent with fairness and correcting an undesired circumstance with a minimum of emotional and professional damage. The informal resolution process and formal complaint resolution process are not mutually exclusive and neither is required as a pre-condition for choosing the other; however, they cannot both be used at the same time.

### **Informal Resolution**

An individual who believes that he or she has been subjected to sexual harassment should contact the Affirmative Action Officer who will review the facts presented. The individual, if they are a faculty member, may additionally contact the Faculty Welfare Committee representative. No

person shall be subject to restraints, interference or reprisal for action taken in good faith to report or to seek advice in matters of sexual harassment.

Informal resolution may be appropriate when the conduct complained of is not of a serious or repetitive nature and disciplinary action is not required to remedy the situation. As there is no formal investigation involved in the informal resolution process, there is no imposition of discipline. University methods for resolving complaint informally include, but are not limited to:

- Mediating between the victim and the individual who is engaging in the offensive conduct;
- Aiding in the modification of the situation in which the offensive conduct occurred;
- Assisting a department or division with the resolution of a real or perceived problem;
- or
- Arranging for a documented meeting between the person allegedly engaged in the offensive conduct and a University official that involves, at a minimum, a discussion of the requirements of the Sexual Harassment policy.

The University will document any informal resolution. The documentation will be retained by the Affirmative Action Officer and, if a faculty member is involved, and so requests, the Faculty Welfare Committee representative. The documentation will be kept confidential to the extent permitted by law. If a complaint is filed in a faculty or staff's permanent record, the faculty or staff member must be notified. An informal resolution meeting is not a precondition for filing a formal written complaint.

### **Formal Complaint**

An individual who believes that he or she has been subjected to sexual harassment may submit a written formal complaint setting forth all pertinent facts to the Affirmative Action Officer who will review and investigate the facts presented. The individual, if they are a faculty member, may also request that a copy of the complaint be sent to the Faculty Welfare Committee representative. No person shall be subject to restraints, interference or reprisal for action taken in good faith to report or to seek advice in matters of sexual harassment.

### **Investigation**

A formal investigation will be initiated if the complaint articulates sufficient specific facts which, if determined to be true, would support a finding that the University's policy was violated. The Affirmative Action Officer will give the alleged offender a copy of the complaint. The alleged offender is also provided with an opportunity to respond to it within five (5) working days (ten working days if school is not in session) of receipt by the alleged offender. The letter will include a statement advising the alleged offender that retaliation against the individual who filed the complaint is prohibited and will subject the alleged offender to appropriate disciplinary action if retaliation occurs.

Both the individual submitting the complaint and the alleged offender will be individually interviewed as a part of the official investigation as will any witnesses or persons who have information related to the complaint. Documents relevant to the complaint will also be examined. Facts will be considered on the basis of what is reasonable to persons of ordinary sensitivity and not on the particular sensitivity or reaction of an individual. In the course of a complaint investigation, the University will attempt to maintain confidentiality for all parties involved. However, there can be no guarantee of confidentiality and anonymity based upon the course and scope of the complaint investigation.

Findings will be based on the totality of the circumstances surrounding the conduct complained of, including, but not limited to:

- the context of the conduct;
- the severity;
- the frequency; or
- whether the conduct was physically threatening, humiliating, or was simply offensive in nature.

## **Representation**

During the complaint process, the individual making the complaint and the alleged offender may designate and thereafter be accompanied by an advisor of his or her choosing at meetings and interviews at which he or she is present; however, no representative may examine witnesses or otherwise actively participate in a meeting or interview.

### **1. Report of Findings and Recommendation – Complaints Against Non-Students**

The Affirmative Action Officer will provide a proposed statement of findings, copies of relevant documents, and any physical evidence considered to the appropriate vice president within ten (10) working days (twenty working days if school is not in session) of receipt of the statement from the person whose conduct was complained about.

The appropriate vice president will promptly notify the individual bringing the complaint and the alleged offender that the investigation has been completed and attach a copy of the proposed statement of findings. A student's identifiable information, if any, which is confidential by law, will be redacted. Within five (5) working days (ten working days if school is not in session) from the date of notification, the individual bringing the complaint and the alleged offender may each submit, for consideration by the appropriate vice president, such comments and corrections as they may have. Within ten (10)-working days (twenty working days if school is not in session) from the date of notification, the Vice President shall take one of the following actions:

- Dismiss the complaint if the result of the completed investigation is inconclusive or there is insufficient reasonable, credible evidence to support the allegation(s); or
- Find that the Sexual Harassment policy was violated.

If the Vice President determines that this policy was violated, he or she shall determine a disciplinary action that is appropriate for the severity of the conduct. The Vice President shall inform the individual bringing the complaint, accused individual and the appropriate dean or department head of his or her decision, and shall attach a copy of the final statement of final statement of findings. Copies of the Vice President's letter, the attached statement of findings, and relevant documents shall also be sent to the Affirmative Action Officer.

Disciplinary action may be appealed by the employee who is disciplined. Appeals for faculty shall be made, pursuant to the Faculty Handbook, to the Faculty Welfare Committee. Appeals for non-faculty shall be made, pursuant to Classified Employee Handbook, in the form of a formal grievance hearing.

## **2. Report of Findings and Recommendation – Complaints Against Students**

The Affirmative Action Officer will provide a proposed statement of findings, copies of relevant documents, and any physical evidence considered to the Vice President for Student Services for a determination pursuant to Article IV of the Arkansas Tech University Student Code of Conduct.

### **Filing of a False Complaint**

Individuals whose complaint is found to be both false and have been made with malicious intent will be subject to disciplinary action, which may include, but is not limited to, demotion, transfer, suspension, expulsion or termination of employment.

### **\*POLICY ON CONSENSUAL RELATIONS**

Sexual relations between students and faculty members with whom they also have an academic or evaluative relationship are fraught with the potential for exploitation. The respect and trust accorded a professor by a student, as well as the power exercised by the professor in an academic or evaluative role, make voluntary consent by the student suspect. Even when both parties initially have consented, the development of a sexual relationship renders both the faculty member and the institution vulnerable to possible later allegations of sexual harassment in light of the significant power differential that exists between faculty members and students.

In their relationships with students, members of the faculty are expected to be aware of their professional responsibilities and to avoid apparent or actual conflict of interest, favoritism, or bias. When a sexual relationship exists, effective steps should be taken to ensure unbiased evaluation or supervision of the student.

An employee, whether faculty or staff, should not develop a dating or sexual relationship with a student whenever the employee is in a “position of authority” over that student. An employee is in a “position of authority” whenever he or she is that student’s teacher, or when the employee is either evaluating or supervising the student. The “position of authority” may also include formally advising the student or when that student is a major in the employee’s department.

A supervisor, whether faculty or staff, should also not develop a dating or sexual relationship with an employee when the supervisor has a “position of authority” with respect to the employee.

Should a dating or sexual relationship develop or exist, the person with the greater position of authority must consult with an appropriate supervisor. The supervisor, with advice from University Counsel, shall develop a mechanism to ensure that objective evaluation is achieved, that conflicts of interest are avoided, and that the interest of the other individual and University are fully protected. If this policy is violated, any discipline, if necessary, shall be reviewed on a case by case basis.

\*Approved Board of Trustees 5/18/06

FACULTY EVALUATION, PROMOTION, AND TENURE  
POLICIES AND PROCEDURES  
(SECTION I)

EVALUATION

**Criteria for Evaluation**

As stated in the Arkansas Tech University Mission Statement, "The primary function of the University is teaching.... In keeping with its focus on teaching, the University seeks to recruit, develop, and retain faculty who are dedicated to quality teaching and providing dynamic classroom learning experiences that integrate theory and practice." These statements are the basis for placing primary emphasis in the annual evaluations upon teaching.

Annual evaluations of faculty are intended to promote better teaching and professional development of the faculty. Evaluations will also be used in reappointment, promotion, and tenure decisions. Faculty will be evaluated in the following three areas:

- A. Teaching (60-80%)
- B. Scholarship (10-30%)
- C. University Service (10-30%)

The weight given to each area in a given year will be determined by the faculty member and department head. The agreement should be stated in writing with copies given to the department head and faculty member. This agreement may be amended to reflect changes in a faculty member's assignments with the mutual agreement of the faculty member and the department head. In those rare circumstances when agreement is not reached, the weighting will be decided upon by the Dean of the School after he/she has heard statements from both the Department Head and the faculty member. **IT IS THE PRIMARY RESPONSIBILITY OF EACH FACULTY MEMBER TO ENSURE THAT ADEQUATE RECORDS ARE ESTABLISHED, COLLECTED, MAINTAINED, AND FORWARDED FOR DECISIONS ON REAPPOINTMENT, PROMOTION, AND TENURE.**

**DEFINITIONS:**

**FORMATIVE EVALUATION: EVALUATION CONDUCTED TO ASSESS THE EFFECTIVENESS OF SPECIFIC TEACHING PRACTICES AND IDENTIFY AREAS FOR IMPROVEMENT OR DEVELOPMENT.**

**SUMMATIVE EVALUATIONS: EVALUATION CONDUCTED TO ARRIVE AT BROAD JUDGEMENTS OF TEACHING EFFECTIVENESS THAT ALLOW FOR COMPARISONS AMONG FACULTY MEMBERS AND THAT CAN BE USED TO MAKE PERSONNEL DECISIONS.**

- A. Teaching will be evaluated on the basis of:
  - 1. A university-wide, standard, student evaluation to measure effectiveness of classroom teaching.

2. An annual peer review of the teaching portfolio conducted by an elected departmental committee composed of tenured full-time faculty members that hold the rank of Associate Professor or Professor (suggested size 3-5 members). For a small department, faculty members may be added from a related department and exceptions to the rank and/or tenure condition may be made with approval of the Vice President for Academic Affairs. Classroom visitation, at the request of the faculty member, may also be included in the peer review process.

A teaching portfolio that chronicles teaching performance should be maintained to provide further evidence of effective teaching; portfolios are to include examples of such items as objectives, syllabi, exams, modifications of courses, teaching techniques used, grading procedures, in-class and out-of-class assignments, text used/changes for all courses taught; summaries of student evaluations; a list of advisees; records of student projects; records of special activities with students (clinicals, internships, presentations, etc.); and records of workshops/special sessions developed, taught, attended, etc.

B. Scholarly/Creative Activity will be evaluated by, but is not limited to:

1. Original research, creative production and theory/method development (i.e., publication of articles in scholarly journals; proceedings; technical reports; presentations at professional meetings; museum exhibits; play writing, musicals, recitals, stage design, etc.).
2. Integration of scholarship by reviewing or editing articles, journals, reports, essays, monographs, music scores, plays, stories and other creative endeavors, as well as textbooks, newsletters, popular publications, newspapers, documents, other public forums.
3. Preparation of grant proposals with emphasis placed upon successful solicitations.
4. Development of courses, programs or curricula including production of publicly available teaching materials, manuals, workbooks, study guides, films, videos, computer software, etc.
5. Taking courses for continuing education.
6. Conducting workshops, short courses, forums or seminars in addition to normal teaching load.
7. Supervision of graduate and undergraduate research projects; serving on graduate committees; advisor for graduate research project; reader of graduate research paper.
8. Completion of terminal degree.

C. University Service will be evaluated by, but is not limited to:

1. Service to the institution
  - a. quality of student advising

- b. membership on university committees
  - c. membership on school or departmental committees
  - d. participation in self studies
  - e. participation in academic program development
  - f. sponsoring/advising student organizations
  - g. participation in student recruitment
  - h. serving as an official representative of the University
  - i. grant writing (non-research types of grants)
  - j. faculty level administrative duties (without release time)
  - k. teaching overloads for reduced compensations
  - l. other (to be discussed and decided by faculty member and Department Head)
2. Service to the profession
- a. membership in professional organizations
  - b. attendance at professional meetings
  - c. holding office in professional organizations
  - d. serving on committees of professional organizations
  - e. providing consulting services (This may not be the sole component of the professional service area.)
  - f. organizing, conducting, or assisting with professional meetings
  - g. serving on committees for accreditation
  - h. service to public schools
  - i. other (to be discussed and decided by faculty member and Department Head)
3. Service to the community
- a. participating in a community project
  - b. holding public office
  - c. assisting public organizations
  - d. public activity in organizations outside faculty member's area of expertise

- e. service to public schools
- f. providing consulting services (This may not be the sole component of the community service area.)
- g. other (to be discussed and decided by faculty member and Department Head)

The faculty member is expected to conduct himself/herself in a professional manner. This includes, but is not limited to, working collaboratively and collegially with colleagues, department heads, and deans. Academic standards are to be upheld, not only in the classroom, but in all segments of the faculty member's professional life.

The following five descriptive ratings will be used to rate each of the three evaluation categories:

- 5. Excellent
- 4. Good
- 3. Satisfactory
- 2. Needs Improvement
- 1. Unacceptable

Annual SUMMATIVE EVALUATIONS will be performed by:

- 1. The Department Head
- 2. The faculty member

### **Evaluation Procedures**

- 1. A written self evaluation of each of the three areas will be prepared annually by each faculty member.
- 2. A departmental peer review committee will meet annually with each non-tenured faculty member to provide a formative evaluation of the teaching area. A summary of this session will be provided to the faculty member and the Department Head. **This is a formative evaluation.** (Note: Tenured faculty may request a meeting with the peer review committee, and the peer review committee may request a meeting with a tenured faculty member.)
- 3. The Department Head will annually review and rate the overall quality of teaching, scholarship, and university service through the use of student evaluations, peer reviews, and an evaluation of materials contained in portfolios. The Department Head will prepare a one-page, comprehensive summary of the three areas of evaluation for the faculty member. Copies of the Department Head's summary will be forwarded to the faculty member, Dean and Vice President of Academic Affairs. A faculty member has the option of attaching an addendum to the Department Head's comprehensive summary. **This is a summative evaluation.**

4. Following a review of the Department Head's evaluation, the faculty member should consult with the Department Head and formulate a plan for professional improvement for the coming year.
5. Department Head evaluations, student evaluation summaries, portfolio materials, and self-improvement plans become part of the faculty maintained documentation submitted for evaluation at each level of the promotion and tenure process.

### **Additional Evaluation Procedures**

#### **A. Teaching**

##### **1. Student Evaluation**

- a. All non-tenured faculty, including full-time, part-time, and graduate teaching assistants, must administer the university-wide student evaluation instrument in each semester to at least one section of each type or level of course the faculty member teaches (lower level, upper level, general education, graduate course).
- b. Faculty members with tenure may choose to use the student evaluation in either the fall or spring semester, but should administer the instrument to at least one of each type of course taught.
- c. The student evaluation instrument must be administered by a colleague, a staff member, or a student in the class, and the faculty member must be absent when it is administered.
- d. Completed student evaluation instruments are collected by the colleague, staff member, or student, placed in a clearly labeled envelope, sealed, and delivered to the office of the Department Head or Dean.
- e. The Department Head or Dean will review and tabulate the results of the evaluation and retain a summary of the results. After final grades for the course have been turned in to the registrar, the evaluation instruments will be given to the faculty member, and they become his or her property.
- f. All student evaluations will include a question pertaining to assessment of the fluency in English of the faculty member or graduate teaching assistant.

#### **B. Scholarly/Creative Activities and Service**

1. Each faculty member will maintain accurate and complete records of scholarly/creative activities and service to be used in promotion and tenure decisions. The activities include the items referred to in the earlier descriptions.
2. Each faculty member applying for review will supply, upon the request of her/his Department Head, a copy of this information to be used in the review process.

### C. Non-tenured faculty members

Each non-tenured faculty member will have a yearly evaluation session with her/his Department Head, as described above. At this session, the Department Head will present to the faculty member a written summary evaluation of the faculty member's performance in teaching, scholarly/creative activities, and service. This will be in accordance with the taxonomy and standards outlined above (in each category, the faculty member will be rated as excellent, good, satisfactory, needs improvement, or unacceptable).

The summary of the teaching evaluation instrument will be one, but only one, piece of information used to make this evaluation. Other information to be considered will include the record of teaching, scholarly/creative activities, and service maintained by the faculty member and supplied to the Department Head in advance of the evaluation session.

At the annual evaluation session, or at any time during the academic year up to this point, the faculty member may present to the Department Head any additional information which he/she believes has relevance to the evaluation in any category (teaching, scholarly/creative activities, or service).

At the conclusion of the evaluation session, a copy of the written **SUMMATIVE EVALUATION** will be supplied to the faculty member. Both the faculty member and the Department Head will sign to acknowledge that this conference has taken place. If the faculty member disagrees with any portion of the written **SUMMATIVE EVALUATION**, he/she may attach a written statement citing the disagreement and the reasons for this disagreement, to the written **SUMMATIVE EVALUATION**.

A copy of the written **SUMMATIVE EVALUATION** is retained by the faculty member, one copy is kept in the departmental file, one copy is forwarded to the Dean of the School, and one copy is sent to the Vice President for Academic Affairs.

The file of the faculty member's yearly **SUMMATIVE EVALUATIONS** will be used to assist in the determination of eligibility for promotion and tenure at the appropriate time according to the standards stated above.

### D. Tenured Faculty Members

The procedures for tenured faculty members will be the same as above. Information assembled will be used for promotion applications and decisions, as appropriate within the rules outlined above. Since the primary purpose of evaluation is the improvement of teaching at the University, all full-time faculty will undergo evaluation each academic year.

## PROMOTION

### Criteria for Promotion

Each faculty rank has its own distinctive requirements, but the University has established the following general criteria. All faculty members wishing to be considered for promotion in rank are expected to meet the following criteria for the appropriate rank as well as the time-in-rank guidelines. Deficiencies in either scholarly/creative activities or service may be counterbalanced by exceptional excellence in the other area. The criteria for teaching effectiveness may not be deficient in the ranks described below. All promotions require a positive recommendation by the

Board of Trustees after review by a Department Head, Dean/Director, University Promotion and Tenure Committee (UPTC), Vice President for Academic Affairs, and President.

### **Minimum Criteria for Promotion**

- A. Present rank: This policy shall not alter the rank of any faculty member held at the time of adoption of this policy.
- B. The following information should be considered **MINIMAL**. The criteria deal with degree, length of time in rank, and a judgment of performance.

#### **Assistant Professor**

- 1. A master's degree in the discipline.
- 2. At least five years as an instructor.
- 3. Classroom instruction or job performance must be judged by the Department Head as at least "satisfactory" in four of the last five years in which the faculty member was formally evaluated.

OR

- 1. A master's degree plus 30 approved graduate semester hours.
- 2. At least four years experience as an instructor.
- 3. Classroom instruction or job performance must be judged by the Department Head as at least "satisfactory" in three of the last four years in which the faculty member was formally evaluated.

OR

- 1. An earned terminal degree.
- 2. Classroom instruction or job performance must be judged by the Department Head as "good."

#### **Associate Professor**

- 1. An earned terminal degree in the discipline.
- 2. At least six years of experience as an assistant professor.
- 3. Classroom instruction must be judged by the department head as at least "satisfactory" in four of the last five years in which the faculty was formally evaluated.
- 4. Scholarly/creative activities and university service must be judged by the Department Head as "satisfactory" in a majority of annual evaluations.

## **Professor**

1. An earned terminal degree in the discipline.
  2. At least six years of experience as an associate professor.
  3. Classroom instruction must be judged by the department head as at least "good" in four of the last six years with no ratings below "satisfactory."
  4. Scholarly/creative activities and university services must be judged by the Department Head as "good" in four of the last six years in which the faculty member was formally evaluated.
- C. Years of experience in rank means experience at the institution unless, at the time of initial contract, credit is given for previous experience. Whether and to what extent prior experience will be included must be decided at the time of initial appointment in a mutually acceptable written agreement between the faculty member and Arkansas Tech University. The maximum time to be allowed for prior service is three years at an accredited institution of higher learning.
- D. Where the term "approved graduate hours" appears, final determination of what graduate hours are approved for consideration shall be made by the Deans of the Schools.
- E. If a faculty member fails to qualify for promotion because of degree requirements, that requirement may be waived when the time in rank is as follows:
1. To Assistant Professor: at least nine years experience as instructor.  
Requirements with regard to teaching, scholarly/creative activities, and university service remain the same.
  2. To Associate Professor: at least nine years experience as assistant professor.  
Requirements with regard to teaching, scholarly/creative activities, and university service remain the same.
  3. To Professor: at least eleven years experience as associate professor.  
Requirements with regard to teaching, scholarly/creative activities, and university service remain the same.
- F. Even though the teaching performance of a faculty member may be judged insufficient by the departmental peer review committee, the Department Head or the School Dean, the application must be allowed to proceed through the system if the faculty member so desires.
- G. All terminal degrees must be received from an institution accredited at the time of the awarding of the degree.

## **Procedures for Promotion**

The steps are as follows:

1. Each academic year, early in the Fall semester, the Office of the Vice President for Academic Affairs will establish a calendar, with appropriate deadlines, for the operation of the Promotion process.

2. Individual faculty members may apply for promotion at times and under circumstances consistent with the calendar and with the CRITERIA FOR PROMOTION as stated above. It is the responsibility of the individual faculty member to assemble all of the materials necessary for consideration under these CRITERIA. This includes, but may not be limited to, the contents of individual Portfolios as described above, and copies of the annual Summative Evaluations performed by the Department Head.
3. The Application for Promotion is delivered to the Department Head. From that point forward, the Department Head, Dean, Promotion Committee, Vice President for Academic Affairs and President will be responsible for timely forwarding to the next level of review and consideration.
4. The Department Head, Dean, Promotion Committee, Vice President for Academic Affairs, and the President will review all applications for promotion in that order. Each will make a formal written recommendation to grant promotion or not to grant promotion.
5. Even though an application may receive an unfavorable recommendation at one level of review, that application must be allowed to proceed to the next level, if that is the desire of the individual faculty member.
6. The President of the University will forward his/her recommendation for promotion to the Board of Trustees of the University.

#### **University Promotion and Tenure Committee**

- A. The University Promotion and Tenure Committee (UPTC) shall consist of six members. At least one member of the UPTC must come from each of the five schools. The sixth member will be selected on an at-large basis from the eligible faculty from the five schools and the library.
- B. Members of the UPTC must be tenured full-time faculty that hold the rank of Associate Professor or Professor. Members will be serving on departmental peer review committees at the time of their appointment, but other qualified faculty may be appointed, with the approval of the President. Faculty serving as Department Heads or Deans are not eligible for appointment. Persons applying for promotion may not serve on the UPTC.
- C. Three members of the UPTC shall be appointed by the chair of the Faculty Senate with its advice and consent, and three members shall be appointed by the Vice President for Academic Affairs. Appointments shall be for three years. On initial appointment, the term of each member shall be designated as one, two, or three years. The Chair of the Faculty Senate and the Vice President shall each appoint one new member each year thereafter for a three year term. The Faculty Senate Chair shall have first choice in the appointment process.
- D. The UPTC shall recommend approval or disapproval of all applications submitted except those of full-time University administrators and those whose appointments carry a contractual obligation for tenured faculty status (Any and all such recommendations will include the appropriate interaction with the department for which tenure will be bestowed). The Committee shall meet with the Vice President to discuss its recommendations with justifications.

- E. The Committee will submit a written statement to each applicant indicating the disposition of the application.
- F. If at any step in the promotion procedure the applicant does not receive a favorable recommendation, he/she may submit an appeal statement rebutting reported deficiencies to the individual responsible for making a recommendation at the next level. The faculty shall submit the statement within ten working days of notification of an unfavorable recommendation. The faculty member may withdraw his/her application at any time.

### **Appeals**

Appeals of promotion and tenure decisions may be made to the Faculty Welfare Committee only under the following two conditions and prior to recommendations being acted upon by the President:

1. The faculty member's appeal is a claim that a promotion and tenure policies process was not followed at a specified level of review.
2. The faculty member's appeal is a claim that evidence which had been presented in a timely manner was not considered at a specified level of review.

If the Faculty Welfare Committee finds an error has been made, the application will be returned to the process at the point where the error occurred. In no instance should the Faculty Welfare Committee substitute its judgment for the judgments made by the parties in the process.

### **Granting Promotion**

The final decision on faculty promotion and tenure shall rest with the President of the University and upon his/her recommendation to the Board of Trustees. Recommendations of the University Promotion and Tenure Committee shall be given deliberate and careful consideration on the question of tenure and promotion, but shall not be binding upon the President or the Board of Trustees.

### **Emeritus Status**

Emeritus status may be awarded to any retired member of the campus community who has held academic rank. Emeritus status is never automatic and reserved only for those who have given extraordinary and outstanding service to the University over an extended period of years.

1. Eligibility is limited to those who have retired, and who have at least 15 years of consecutive service to the University.
2. Recommendations for emeritus status must be in writing, and may be made by any current member of the University community who holds faculty rank.
3. Recommendations and all supporting documents will be reviewed by the University Promotion and Tenure Committee, the Vice President for Academic Affairs, and the President in that order.

The sole consideration in the evaluation of these recommendations shall be the rendering of truly exceptional service to the University.

Recommendations and all supporting materials must be delivered to the Office of the Vice President for Academic Affairs by October 15 of the academic year in which the emeritus status is being sought. The review process will culminate with the candidate being considered by the University Promotion and Tenure Committee, Vice President for Academic Affairs, President, and Board of Trustees in the Spring semester of that academic year.

4. Authority to grant emeritus status rests with the Board of Trustees of the University upon the recommendation of the President.

### **Tenure Review**

The process of review for those faculty members seeking tenure will be the same as that outlined for promotion. That is, review and recommendation will be conducted by the Department Head, Dean, Promotion and Tenure Committee, Vice President for Academic Affairs, and President.

This will be conducted according to the calendar established each year by the Office of the Vice President for Academic Affairs, as described above.

This process will be conducted in accordance with the policies outlined in Item B in the "Regulations on Academic Freedom and Tenure" on page 12. Thus, it will be necessary for faculty members in their last year of probation to apply for tenure.

Nothing in these policies shall alter the ability of officers of administration to issue terminal contracts to probationary faculty, as is presently the case under the provisions of the "Regulations on Academic Freedom and Tenure."

Only the University Board of Trustees, upon the recommendation of the President of the University, has the authority to grant tenure.

### **Effective Date**

This policy was approved by the Arkansas Tech University Board of Trustees on June 15, 1995. Subsequent revisions were made on November 30, 1995, June 20, 1996, June 18, 1998, June 17, 1999, and March 14, 2003. This policy shall supersede any existing policies that may be in conflict with its provisions.

## **TENURE AND PROMOTION PROCEDURES (SECTION II)**

### **Tenure Procedures**

- A. Recommendations for tenure are based on overall professional attainment and expectation of further professional growth at Arkansas Tech University. For teaching faculty, service in three broad areas is considered: teaching, scholarly/creative activity, and university service. The procedures outlined below are designed with a view toward providing balance between consistency in the evaluation of all candidates and sufficient allowance for the varied interests, talents, and accomplishments of candidates from diverse academic disciplines.

Tenure may be granted by the Board of Trustees after all of the following steps have been completed:

1. Review and recommendation by the Department Head of the candidate's respective department.
2. Review and recommendation by the Dean of the candidate's respective school.
3. Review and recommendation of the Promotion and Tenure Committee.
4. Review and recommendation by the Vice President for Academic Affairs.
5. Recommendation by the President.
6. Action by Board of Trustees.

Unless otherwise specified in the letter of appointment, tenure consideration is due during the sixth year of full-time experience at the level of assistant professor and during the designated or specified year at the level of appointment of Associate Professor.

- B. Those faculty members who are eligible and who wish to be considered for tenure are responsible for presenting evidence of the qualifications (i.e. portfolio) in the sequence specified in item one. The Department Head should receive materials by (announced annually). The Department Head shall forward his/her recommendations to the Dean before or on (announced annually). The recommendations of both the Department Head and Dean shall be forwarded to the Promotion and Tenure Committee before or on (announced annually). The Promotion and Tenure Committee with the recommendations of the Department Head and Dean are to present their recommendations to the Vice President of Academic Affairs no later than (announced annually). The Vice President of Academic Affairs will forward a recommendation to the President by (announced annually). The President will notify the candidate of the recommendation no later than (announced annually).

If tenure is granted, the recipient will continue his or her appointment on a yearly basis. If tenure is not granted during the final year of probation, the faculty member will receive a terminal appointment for the following academic year.

### **Promotion Procedures**

- A. Recommendations for promotion are based on overall professional attainment and expectation of further professional growth at Arkansas Tech University. For teaching faculty, service in three broad areas is considered: teaching, scholarly/creative activity, and university service. The procedures outlined below are designed with a view toward providing balance between consistency in the evaluation of all candidates and sufficient allowance for the varied interests, talents, and accomplishments of candidates from diverse academic disciplines.

Those faculty members who are eligible and who wish to be considered are responsible for presenting evidence of their qualifications for submission. The submission procedure is reflected below.

1. Review and recommendation by the Department Head of the candidate's respective department.
2. Review and recommendation by the Dean of the candidate's respective school.

3. Review and recommendation of the Promotion and Tenure Committee.
  4. Review and recommendation by the Vice President for Academic Affairs.
  5. Recommendation of the President.
  6. Action by Board of Trustees.
- B. Candidates must first meet the minimum criteria for promotion set forth in the "Faculty Evaluation, Promotion, and Tenure Policies and Procedures" section (see page 21).

### **Portfolio Preparation**

- A. The following suggestions for preparation of a portfolio and applications relating to tenure and/or promotion were compiled from meetings with past members of the University Promotion and Tenure Committee and School Deans. They are intended as general guidelines in the preparation of the portfolio for annual evaluations and peer review, and when appropriate, for applications for tenure and/or promotion.
1. Portfolio should consist of one main binder containing the following materials:  
(Additional or supporting documentation may be provided in clearly labeled appendices either in the main binder or in additional binders.)
    - a. A table of contents with the appropriate tabs or numbered pages
    - b. Three major sections: Teaching, Scholarship, Service
    - c. An introductory summary for each section: Make argument for teaching excellence; why scholarship is relevant or important in field; and show how service activities benefit the university.
  2. Present materials in reverse chronological order in each section.
  3. Provide appropriate references and document claims.
  4. Include examples of course material – not **all** course material.
- B. Suggested Table of Contents for Portfolio
1. Teaching
    - a. Introductory summary
    - b. Student evaluation summaries
    - c. Awards and recognition
    - d. Examples of course materials
    - e. – z. Other relevant material (see *Faculty Handbook*, pages 21 - 31)
  2. Scholarship
    - a. Publications
    - b. Presentations
    - c. Creative activities
    - d. – z. Other examples of scholarship (see *Faculty Handbook*, pages 21 - 31)

3. Service
    - a. University committees
    - b. Service to profession
    - c. – z. Other relevant service activities (see *Faculty Handbook*, pages 21 - 31)
  4. Appendices (as needed; clearly labeled as Teaching, Scholarship, Service; may be included in main binder or additional binders)
- C. Suggested Organization of Application for Tenure and/or Promotion Utilizing Portfolio
1. Letter of application for tenure and/or promotion describing how eligibility requirements have been met
  2. Recommendation of department head if applicable
  3. Recommendation of dean if applicable
  4. Current resume
  5. Other letters of support
  6. Copy of annual reviews by department head
  7. Portfolio and its table of contents

Note: Please include items 1 - 6 in the front of the main portfolio binder.

### (SECTION III)

#### A. Classes of Academic Staff Positions

Academic staff positions are those in which the principal services performed are teaching and/or research.

1. **Regular.** There shall be four classes of regular academic staff positions: Professor, Associate Professor, Assistant Professor, and Instructor.
2. **Non-regular.** All other academic staff positions shall be considered non-regular.
  - (a) The positions of Visiting Professor, Lecturer, and others of like nature shall be considered special and temporary, and are non-regular.
  - (b) The positions of Assistant Instructors, Student Assistants, and others of like nature shall be considered temporary, and are non-regular.
  - (c) Summer session positions shall be considered non-regular, whatever the title thereof may be.
  - (d) Part-time positions ordinarily shall be considered non-regular, whatever the title thereof may be.

- (e) The positions of federal or state employees or appointees attached or assigned to the University, and others of like nature, shall be considered non-regular, whatever the title thereof may be.
- (f) The positions of coaches of intercollegiate athletics, whether full or part-time, shall be considered non-regular, whatever the title thereof may be.
- (g) Appointments made in connection with special departments, programs, or institutes of an experimental or temporary character may be terminated when the project is discontinued. All such positions shall be considered non-regular, whatever the title thereof may be.
- (h) The preceding paragraphs concerning certain types of non-regular positions are illustrative only, and do not purport to constitute a complete listing of non-regular positions.

3. **Administrative Positions.** The administrative functions, titles, and status of the president, vice presidents, deans, registrar, plant engineer, librarian, steward, directors, department heads, and others with administrative responsibilities for academic or non-academic services shall be distinct and severable from their functions, titles, and status, if any, as academic staff members.

Administrators holding academic rank and teaching regularly a minimum of one-quarter time shall be eligible to have that period of teaching considered for purposes of tenure if and when they are assigned to full-time teaching. The determination of the equivalence of this part-time teaching to years toward tenure will be based on an evaluation made of this teaching and associated activities by the department and/or school in which the administrator holds academic rank and by the administrator's immediate supervisor.

#### B. Individual Personnel Records

A complete file on each faculty member is maintained in the Academic Affairs Office. Each new faculty member completes the "Faculty Record" and submits it to the Academic Affairs Office during the first week of the fall semester. Periodically, the "Faculty Record" is checked and brought up-to-date. Each faculty member will provide the Academic Affairs Office with up-to-date copies of all college transcripts for inclusion in the individual's personnel file.

#### C. Third Year Review

All tenure track faculty will be subject to a third year review. This review will take place during their third year of a full-time tenure-track appointment. The review will include a preliminary assessment, based on reviews of the previous two years, concerning the suitability of the candidate for eventual tenure consideration at Arkansas Tech University. The third year review will be used for reference in tenure consideration.

#### D. Procedures and Guidelines for Peer Review

##### The Concept of Peer Review

1. Purpose. The primary purpose of peer review is to assist faculty members in improving their teaching effectiveness.

2. Historical perspective. The peer review process features collegial determinations by persons who, on the basis of their own achievements, have the competence to make such judgements. Senior faculty who are knowledgeable in the instructor's field and experienced in the classroom are generally qualified judges of teaching effectiveness. Such faculty members appear to be qualified to assess the instructor's knowledge, selection of course objectives, and appropriateness of assignments and examinations. Senior colleagues can provide valuable, reliable, and valid assessments of course materials such as examinations, syllabi, and instructional media. [David A. Dilts, Lawrence J. Haber, Donna Bialik, An Introduction to Academic Performance Appraisal in Higher Education. (Greenwood, 1994).]
3. Supervisory responsibilities. Since the primary role of the peer review is to improve a faculty member's teaching effectiveness, peer review does not include supervisory or managerial responsibilities over individuals being reviewed. Faculty members who serve on peer review committees should provide input only on the instructional components of the portfolios, to include comments on instructional methodologies and issues associated with pedagogy.
4. Committee Functions
  - (a) Composition. Each department will elect a peer review committee. The peer review committees will be composed of tenured full-time faculty members that hold the rank of Associate Professor or Professor (suggested size 3-5 members). For small departments, faculty members may be added from related departments and exceptions to the rank and/or tenure condition may be made with approval of the Vice President for Academic Affairs.
  - (b) Functions. The peer review committee will conduct annual peer reviews of faculty members within their departments. The reviews will be conducted of all full-time faculty members regardless of rank or tenure status. When a member of the peer review committee is being reviewed, that member will not participate in his or her own review process except as a person being reviewed.
  - (c) Duties. The peer review committee will review the teaching portfolios of each faculty member and will provide to the departmental chair written comments regarding the teaching effectiveness of each faculty member and suggestions for improvement. The committees will not assign numerical values to teaching effectiveness nor rank faculty members. The committee will meet with each non-tenured faculty member. (Note: Tenured faculty may request a meeting with the peer review committee, and the peer review committee may request a meeting with a tenured faculty member.)
  - (d) Comments. The peer review committee shall prepare written comments on each full-time faculty member. The comments will be added to the faculty member's portfolio. The comments should include the below listed criteria on the teaching effectiveness of the faculty member:
    1. the pertinent data and an assessment of the data,
    2. an overall assessment of the faculty member's teaching effectiveness, and
    3. any suggestions to improve the faculty member's teaching effectiveness.

- (e) Classroom visitation. Classroom visitation is perhaps the most controversial aspect of peer review. Accordingly, classroom visitation will be made only at the request or invitation of the individual being reviewed.
- (f) Time lines. The peer review process should be completed prior to the first day of March each school year.
- (g) Attached is a sample peer review form.

[Sample]

PEER REVIEW of Dr. James B. Goodfile

February 14, 1997

The Peer Review Committee for the Department of Behavioral Sciences has reviewed the portfolio of Dr. James B. Goodfile for the school year 19XX-XY. The comments below are submitted.

1. Pertinent data and an assessment of the data.

Dr. Goodfile's portfolio contains representative samples of his course syllabi, phase and final examinations, class handouts, and student evaluations. In addition, the committee met with Dr. Goodfile and discussed the contents of his portfolio with him. Dr. Goodfile has been at TECH for four years. His average teaching load is 12 credit hours per semester. He has averaged two new teaching preparations each semester.

The student reviews indicated that the students have a high opinion of Dr. Goodfile's teaching effectiveness. The student evaluations indicate no significant areas of concern that need to be improved. It is noted that his student evaluation scores have improved in the last three semesters. It is also noted that in his first two semesters at Tech, several students commented on their lack of understanding of the course assignments. Apparently, he has taken steps to alleviate this perceived problem since the comments have not been repeated in the last six semesters. His examinations are keyed to the objectives of the course, are prepared with care and forethought, and are sufficiently objective, reliable, and numerous in terms of numbers of items and content sampling to provide the basis for fair and valid grading. Dr. Goodfile's texts and materials are current, appropriate and well integrated with his lectures. His course syllabi, however, tend to be brief and without much explanation regarding the course goals, expectations, and course requirements. Dr. Goodfile has developed a new course in victimology. The course appears to be particularly well developed, comprehensive, and well organized (see the sample material contained in his portfolio).

2. An overall assessment of the faculty member's teaching effectiveness.

Dr. Goodfile appears to be extremely meticulous and conscientious in his teaching duties. His instructional procedures appear to be based on a thorough, systematic, and complete set of behavioral objectives.

3. Suggestions to improve faculty member's teaching effectiveness.

The course syllabi indicates that on the first day of class, Dr. Goodfile provides an orientation of the course requirements, goals, and expectations. In view of the fact that some students are not present the first day because of absence or late registrations, it is recommended that Dr. Goodfile include a more detailed explanation of his requirements, goals, and expectations in his syllabi.

Peer Review Committee Members:

Dr. Jerry Forever

Dr. Jane Senior

Dr. Harry Barr

Dr. Mary Teacher

## E. Merit Pay

In the event that merit salary funding is established in a given fiscal year, the following guidelines will apply.

### Definition:

Merit pay is defined as a salary increase to base pay for meritorious performance of professional duties and activities within a given year of service. By definition, merit pay is intended to exclude the concept of one-time bonuses. It is not intended that everyone evaluated for merit will receive a merit salary increase.

### Eligibility

1. The full-time tenure track faculty of Arkansas Tech University shall be eligible for merit pay consideration.
2. Merit pools will be allocated to each School within the University. Deans will work with Department Heads in allocating the funds to the various departments.
3. Eligibility for consideration for merit pay will be based on the annual performance review of the faculty, already established in the Arkansas Tech University Faculty Handbook. Department Heads will reduce the areas of teaching, research, and service to one evaluation number for merit pay consideration. No faculty member will be considered for merit pay with a lower overall number than 4, and lower than a 4 in the area of teaching.

### Salary Distribution:

Salary increments for merit are recommended by the Department Head, forwarded to the Dean of the School for review and further recommendation, and then forwarded to the Vice President for Academic Affairs.

## GUIDELINES FOR EVALUATION OF ACADEMIC ADMINISTRATORS BY FACULTY

Academic Deans shall be reviewed at least every two years. Department heads and other associated staff will be reviewed every year. Exceptions may be made in the event that there is a change in dean or department head. The Office of Academic Affairs will be responsible for implementing, monitoring, and enforcing the policy and its procedures.

The goals of the review are to provide feedback to academic administrators and serve as a basis for a dialogue between academic administrators, to provide information and status of ongoing programs and initiatives, and to assist in planning for future initiatives. The review will cover the following areas: (1) Leadership; (2) Administration; (3) Faculty and Program Development; and (4) Communication.

The evaluation process is outlined as follows:

A. Procedure:

The Office of Academic Affairs sends out the survey form to faculty members and collects and tabulates the responses. The results are forwarded to the dean and a copy will be maintained by the Office of Academic Affairs.

B. Evaluators:

Deans

Faculty, tenured and tenure track, and department heads will be asked to participate in the survey. The dean will also be asked to provide a self-evaluation.

The Vice President for Academic Affairs will use the results of the review process and a separate set of criteria to evaluate the dean. The Academic Vice President will evaluate the deans on a yearly basis.

Department Heads and Associated Staff

Faculty, tenured and non-tenured, will be asked to participate in the survey. The department head will also be asked to provide a self-evaluation.

The Dean will use the results of the review process and a separate set of criteria (including teaching) to evaluate the department head.

C. Deadlines

Forms are sent out to all eligible faculty on October 15. Deadline for return is November 15. Forms are tabulated and results sent to the academic administrator and the Vice President for Academic Affairs by January 15. The Vice President for Academic Affairs evaluates academic deans by April 15.

## HONORARY DEGREE POLICY

Honorary degrees are only awarded to persons of acknowledged eminence in the arts, letters or sciences, in the professions, or in public service whose contributions are so significant that benefits are recognized and acknowledged on a state, national, or international level.

As a general policy, honorary degrees shall not be awarded to active members of the University faculty or staff, or to retired faculty members for career distinction achieved solely at Arkansas Tech University.

Arkansas Tech University will grant no more than one honorary degree to an individual. Names of previous honorary degree recipients, along with any other consideration, are on file in the Office of Academic Affairs.

The authority to award honorary degrees rests with the Board of Trustees.

## **General Guidelines:**

1. Faculty members and academic administrators holding regular faculty rank may submit names of persons considered worthy for an honorary degree from Arkansas Tech University to a committee made up of the Promotion and Tenure Committee, three representatives from the Dean's Council, and the Vice President for Academic Affairs.
2. Those wishing to nominate a candidate should submit the following:
  - a. Letter of nomination citing the field in which the nominee has achieved eminence and describing the significance of the nominee's contribution to the field and, if appropriate, to Arkansas Tech University.
  - b. In cases where the candidate is not as well known outside his or her discipline as within it, at least three letters by eminent persons in the same field endorsing the candidate's nomination.
  - c. Any other information illustrating the candidate's eminence and contribution to Arkansas Tech University.
3. After preparing its recommendations the Committee shall present them to the President by February 1 for spring commencement. The President will forward the names of the nominees to the Board of Trustees for final approval.
4. After final action by the Board of Trustees, the President informs the nominees.

Prior to public announcement by the President and the Board of Trustees, all matters relating to honorary degrees are treated as confidential.

Any honorary degree shall not be awarded in absentia unless specifically recommended by the Committee and approved by the Vice President for Academic Affairs, the President, and the Board of Trustees.

## **EMPLOYMENT AND RETIREMENT POLICIES**

### **Salaries**

The University does not have a fixed salary schedule; however, acting within the limitations of the budget and in response to definite needs and demands, it does undertake to maintain a well-defined pattern in establishing salaries. This salary pattern represents the considerations given to education, experience, special needs, and the relative value of the individual to the University.

### **\*Payroll Information**

Immediately upon arrival on the campus, new faculty members will need to schedule a formal orientation with the Human Resources Office. The orientation process will include completion of personnel data information, employee insurance and retirement election.

\*Amended 8/1/07

## **Summer Teaching Appointments**

Summer teaching assignments are separate from academic year appointments and are based on curricular need. Employment during the academic year does not imply an obligation for teachers to accept summer teaching assignments unless they so desire. If in any department curricular needs and the number of available qualified teachers do not coincide, the priority of assignments is, first, to teachers who have accepted appointment for the ensuing year (this priority may extend to teaching both summer terms if the need exists), and second, to teachers who have chosen not to accept reappointment. Existing faculty with regular appointments will receive priority consideration for summer teaching assignments; however, as a means of providing for the instructional needs in graduate, continuing education, or other special programs, adjunct, part-time, visiting, and consultant faculty may be employed.

## **Outside Employment**

The following policy concerning outside employment was approved by the Board of Trustees on February 21, 1980:

Certain outside employment situations may provide needed services to the community, as well as supplemental income to faculty members, without impeding the fulfillment of the faculty member's contractual agreement with the University. However, full-time faculty personnel are expected to discharge all professional responsibilities and time obligations related to their position at Arkansas Tech. Outside employment, whether self-employed, managerial, or employee status, should not interfere with the faculty position.

## **Resignations**

A teacher who does not wish to return for the ensuing school year should so inform the head of the department and should submit a formal letter of resignation to the Vice President for Academic Affairs for future protection in the event inquiries are made as to the reasons for leaving. After receiving a notice of appointment, a teacher who decides not to accept the appointment should return the unsigned employment notice on or before the date indicated. In this case, the above resignation procedures shall be followed. After employment has been accepted and the agreement signed, teachers should consider themselves bound by the code of ethics of the teaching profession to fulfill the commitment.

For further information concerning resignation policies, please refer to Section C of the "Regulations on Academic Freedom and Tenure."

## **Retirement Policies**

Arkansas Tech University complies with the Federal Age Discrimination in Employment Amendments of 1986 which prohibit the mandatory retirement of any employee. All exemptions applying to higher education were repealed as of December 31, 1993, eliminating compulsory retirement for all faculty.

## **FACULTY BENEFITS AND PRIVILEGES**

Detailed descriptions of the following benefits are available from the Human Resources Office located in Bryan Hall.

## **Arkansas State Employees Association**

ASEA is an independent, non-profit organization which works to make conditions better for state employees. The association works with the legislature, agencies and institutions of state government, and employees of the state. Information is available in the Human Resources Office. Dues can be payroll deducted.

### **Bookstore Discounts**

Full-time faculty members making purchases at the Bookstore are entitled to discounts on purchases of \$2.00 or more. The discount allowed on new and used textbooks is ten percent.

### **Business Discounts**

Occasionally, all employees and members of the immediate family are eligible to receive discounts from area businesses. Information may be obtained in the Human Resources Office.

### **Campus Health Services**

Minor health services are available to employees at no cost upon presentation of the I.D. Card. Employees requiring services of a physician will be referred to a full-service medical facility.

### **\*Credit Union**

Employees may participate in the Priority Federal Credit Union through payroll deduction of at least five dollars per month. Additional information is available in the Human Resources Office. Employees may also participate in the Arkansas Federal Credit Union.

### **Faculty Identification Card**

Each faculty member may obtain without charge from the Student Accounts Office a photo-identification card.

The swimming facilities may be utilized during designated hours by employees and members of the immediate family upon presentation of the employee I.D. card or swim pass.

Other facilities may be used when not in use by students.

Library materials may also be checked out upon presentation of the employee I.D. Card.

### **Faculty/Staff Aid for On-Campus Study**

The Board of Trustees, on May 13, 1978, approved a plan of aid for on-campus study to assist and encourage Arkansas Tech University faculty/staff and members of their immediate family to make greater use of the University's educational facilities. Provisions of the plan, as revised, are as follows:

- A. A faculty member on an annual contract will be permitted, with the approval of the Department Head and Vice President for Academic Affairs, to enroll at no cost in undergraduate or graduate courses.

\*Updated 8/1/07

- B. A classified staff member will be permitted, with the approval of the immediate supervisor and appropriate Vice President, to enroll at no cost in undergraduate or graduate courses that meet at times other than regular duty hours.
- C. Approval of class enrollment for classified staff members during working hours is made by immediate supervisor and appropriate Vice President for one class per semester. The employee's lunch hour and/or other time approved by the immediate supervisor shall be worked to compensate for the time spent in class.
- D. If a department deems it necessary for an employee to take a class to enhance skills for the particular job the employee is working in, annual leave or compensatory application will not be necessary. However, in all instances, written approval must be made by the appropriate Vice President and kept on file in the Human Resources Office.
- E. Members of the immediate family (spouse and/or children) of the above defined faculty/staff will be permitted to enroll in undergraduate courses with a discount equivalent to tuition for three semester credit hours or one-half of total tuition cost, whichever is greater. This benefit will be allowed for the fall semester, spring semester, and each summer term. In addition to their part of the tuition payment, students will be assessed the normal student fees. The maximum graduate course discount is equivalent to three semester credit hours per term. For summer terms, the benefit will be the greater of the three hours or one-half of total tuition cost during a five-week term, and the benefits may not be received for both a "mini" or short course and the appropriate summer term. Students will receive a maximum discount per term equivalent to one-half the total tuition charged for three undergraduate hours plus three graduate hours. To qualify, dependent children must be unmarried and must not have reached their twenty-third birthday. Grandchildren and step-children are eligible if fully supported by the employee and claimed as a tax exemption.
- F. When the amount available under the reduced-fee policy is added to any other scholarship provided with institutional funds, the total should not exceed the total tuition fees charged for the semester. It is not intended that a cash refund will be generated to the student due to Arkansas Tech University provided scholarships, and the reduced-fee discount, in total, exceeding the total charges for the semester.
- G. Appropriate forms for this benefit can be obtained from the Human Resources Office and are to be completed and approved during registration/classification.
- H. Arkansas Tech Employees who are actually employed in a satellite office location will be afforded the same tuition waiver benefit for themselves and their dependents for Arkansas Tech credit classes.

#### **Faculty/Staff Tickets for Athletic Events**

Faculty/staff members, their immediate family, and one guest will be admitted to most athletic events on the presentation of the identification (ID) card.

#### **\*Group Insurance**

Group insurance is available for all full-time employees. The plan includes hospitalization, accidental injury, and major medical insurance. Life insurance with accidental death provisions and long-term disability insurance is available on an elective basis.

The University participates in the cost of hospitalization, accidental injury, major medical, and life insurance. Contribution to the long-term disability insurance program is related to sick leave as outlined in this section.

\*Amended 8/1/07

## **Retirement Benefits**

State law requires that all full-time faculty participate in an approved retirement system. The two systems available are the Arkansas Teacher Retirement System and the Teachers' Insurance and Annuity Association. A choice may be made on initial employment. Basic information on these plans will be furnished in faculty orientation sessions.

Benefits specific to retirees include the following:

1. Retirees are issued an Arkansas Tech University identification card free of charge.
2. Retirees are admitted free to most conference athletic events by showing the Tech identification card.
3. Discounts at the Tech Bookstore are given to retirees.
4. Retirees are allowed to use the swimming pool located in the Hull Building when it is open for faculty/staff use.
5. The Tech identification card allows retirees the use of the Library when it is open.
6. Retirees may use Tucker Coliseum and the track at Buerkle Field for exercising.
7. Retirees are invited to special social events on the campus which are for the purpose of entertaining faculty and staff.
8. Retirees with official campus business may request one complimentary automobile decal with additional decals issued at the regular price.

## **Savings Bonds**

Savings Bonds are available to employees and are payroll deductible. Information is available in the Human Resources Office.

## **Sick Leave**

The following policies concerning sick leave were approved by the Board of Trustees on February 21, 1980:

Academic personnel, including faculty, deans, directors, and librarians, are provided sick-leave protection up to ninety calendar days per academic year for illness or disability. The University is able to provide this liberal sick-leave policy through the cooperation of fellow faculty members who, to the extent possible, assume the instructional responsibilities of those on sick leave.

For those who have long-term disability insurance, the ninety-day provision enables continuous compensation until the insurance becomes effective.

Maternity leave shall be treated as any other leave for sickness or disability. Additional leave without pay, up to one year, may be granted if requested by the employee.

Part-time faculty may participate in sick-leave benefits in the same proportion as their teaching assignment is to a full teaching load on a nine-month basis.

Faculty may utilize sick leave for absences due to illness, injury, emergency dental or doctor appointments, or death or serious illness in the employee's immediate family.

### **Social Security**

The University pays the maximum as specified by law.

### **\*Travel Card**

To request a State Travel Card, an individual must be a current full time employee of Arkansas Tech University subject to having reimbursable travel expenses as a normal part of performing his/her official University duties and must meet the following criteria:

1. Spends more than \$250 per year on travel, or
2. Travels within the State twice per year, or
3. Travels out of State once per year.

The Individual Account application forms must be completed to request a travel card. They can be found on the ATU web page under on-line forms under Travel Forms (go to [www.atu.edu](http://www.atu.edu); click on "Faculty and Staff"; and then click on "Online Forms" or go to <http://budget.atu.edu> and click on "Forms"). The completed forms must be submitted to the Budget Office, Bryan, Room 208 for processing.

### **Unemployment Insurance**

All regular employees of the University are covered under the Arkansas Employment Security Law.

### **Vacation with Pay**

The following policies on vacation with pay were approved by the Board of Trustees on February 21, 1980:

Academic employees on a nine-month basis will not be granted separate vacation periods with pay due to the academic breaks at Thanksgiving, Christmas, and Spring holidays.

Academic administrators, including deans, directors, librarians, and heads of departments on twelve-month contracts, are provided vacation leave in accordance with the Uniform Attendance and Leave Policy Act, State of Arkansas (Act 567 of 1975, as amended), with additional provisions as approved by the Arkansas Tech University Board of Trustees on December 20, 1979.

\*Added 8/1/04  
\*Updated 8/1/06

## **Worker's Compensation Insurance**

All employees are insured under the Worker's Compensation Insurance program without cost to the individual. This program provides benefits in connection with injuries received on the job. Injuries should be reported to the Human Resources Office within twenty-four hours.

## **PROFESSIONAL GROWTH AND DEVELOPMENT**

At Arkansas Tech University professional growth and development are critical individual and instructional concerns. A major component of the University's efforts is to maintain and improve the quality and scope of the instructional program.

Each administrative sub-unit of the University encourages professional growth and development through the expenditure of its regular budget for such activities as professional travel, utilization of resources external to the University, and participation in professional societies. Additionally, faculty development funds administered through the offices of the school deans and Vice President for Academic Affairs support sabbatical leaves, research grants, advanced graduate study, and special growth/development opportunities. The Faculty Salary, Benefits, and Awards Committee and the Professional Development Committee assist the academic administrators by providing peer review, making funding recommendations, and by promoting and processing faculty development activities. The committees encourage faculty to submit proposals, evaluate the proposals, and recommend in priority order those which show particular developmental promise. Qualified proposals may be resubmitted, if not funded, during the budget year for which they were originally approved.

The following programs have been established at Arkansas Tech University to enhance individual and departmental efforts for professional growth and development. \*Additional information on these programs is available at <http://research.atu.edu>.

### **ATU Faculty Research Fund**

Each year the University allocates funds to stimulate activity in research through mini-grants for small or pilot research projects. The amount of \*\$2000 has been designated as the average amount per project. Applications must describe the project in detail, identifying the problem and purpose of the study, and specifying separately the amounts requested for equipment, travel, materials, clerical or laboratory assistance, and, when applicable, reduction of teaching load, with an explanation of each item of expenditure. Plans for dissemination of the results are to be included. Applications may be submitted at any time, except that a project proposing relief from teaching duties for a semester or more must be submitted in time for committee action at least six months in advance of the effective date.

Applications should be submitted to the Academic Affairs Office for subsequent transmittal to the Faculty Salary, Benefits, and Awards Committee. The committee reviews all applications and submits to the Vice President for Academic Affairs those it recommends for approval in whole or in part. Expenditure of funds is processed through the Business Office according to established purchasing and accounting procedures. All equipment purchased through a faculty research allocation becomes the property of the University for instructional use by the faculty member's department upon completion of the project. The terminal report, including findings and data, is to be submitted within twelve months of project completion or upon termination of employment.

Guidelines describing proposal development and evaluation procedures are available on the ATU website at <http://research.atu.edu>. Click on the Faculty Research link.

\*Updated 8/1/06

## **Sponsored Programs and Projects**

Sponsored research projects and grants are coordinated through the academic units. Information to assist in the research process is available at <http://research.atu.edu>. To establish an orderly procedure for handling the increasing number of University projects financed in part or in whole by outside agencies, the Board of Trustees has approved the following policies:

All projects for institutes, workshops, or research contracts and grants, financed in part or in whole by funds from outside agencies, shall be cleared through normal administrative channels prior to the initiation of a proposal. In general, those projects are encouraged which have their inception in the interests of individual faculty members or groups of faculty members working within the framework of the overall instructional purposes of their department or school.

The preparation of a proposal, after preliminary institutional approval of the project, is the responsibility of the staff member or members initiating the project. Normally, the individual with primary responsibility for drafting the proposal will be the person designated as supervisor or director of the project if the grant should be obtained. Proposals must be prepared following the guidelines of the "Grants Handbook, 1983" or any current revised version of this document. (Note: All information from the "Grants Handbook 1983" is available at <http://research.atu.edu>.)

When a proposal is in final form, it will be submitted for review and final approval by the appropriate Department Head, School Dean, and Vice President for Academic Affairs. The proposal is submitted to the contracting officer for the University (Vice President for Administration and Finance) for approval of the budget. After approval by the Vice President for Administration and Finance, the proposal is forwarded to the Vice President for Academic Affairs, and the President for approval. Appropriate forms for securing signatures are available in the Office of Academic Affairs.

In proportion to the amount of an individual's time to be devoted to a contract involving outside funds, the staff member is to be relieved of other duties during any period of obligated full time service to the University. Compensation for contracts or grants must be approved by the Board of Trustees. If, however, a part or all of the individual's duties under a project are to be performed during any part of the summer, when a teaching contract is optional, the University will execute a separate contract for his/her services at an appropriate salary. A staff member under a twelve month contract may receive additional compensation only for any part of the services which may fall within his/her normal vacation time.

Any deviation from the above policies shall require the specific approval of the Board of Trustees.

## **Faculty Development Grants**

Each year the University allocates funds for faculty development activities in school budgets. These funds are coordinated through the various academic units. Applications for faculty development grants should include information on how the proposal correlates to institutional goals, priorities, and constituencies. Some of the items eligible for funding include (but are not limited to):

- Travel to professional conferences for the purpose of making a presentation or serving in a significant official capacity.

- Travel to professional conferences for the purpose of updating discipline specific knowledge or other similar activity.

Applications, along with supporting documentation, should be submitted by the faculty member to their department head for initial review. The department head reviews the proposal and forwards the request along with the recommendation to the dean. The dean convenes the School Faculty Development Grant Committee to evaluate all proposals and make a recommendation to the dean. The dean informs the department head of the decision.

More detailed guidelines describing the Faculty Development Grant request procedure as well as the evaluation criteria and grant limitations are available in school/departmental offices.

#### **\*Professional Development Grants**

The University has established a fund to provide additional faculty development opportunities beyond those provided by the schools. The Professional Development Grant funds are administered by the Professional Development Committee. Please see the link at <http://research.atu.edu> and click on “Faculty Development.”

#### **Professional Societies**

The University supports membership in professional organizations. Each school is allocated funds to pay for transportation, lodging, meals, and registration fees of faculty members to attend national, state, and regional professional meetings. School Deans are responsible for the authorization of travel allocated to their school.

#### **\*Undergraduate Research**

To promote collaborative faculty and student research activities, the University has established the Undergraduate Research fund. Please see additional information at <http://research.atu.edu> and click on “Faculty Research” and then “Undergraduate Research”.

#### **Leave**

The sabbatical assignment, leave with pay, or leave without pay are benefits available to faculty members.

1. A faculty member granted a sabbatical assignment, leave with pay, or leave without pay must be given a written statement, signed by the proper administrators, specifying whether or not Arkansas Tech University is committed to employ the faculty member at the end of the leave period.
2. A faculty member returning to the University from a sabbatical assignment, leave with pay, or leave without pay will be given the same consideration for a salary raise, promotion, or tenure that he/she would receive if not on leave.
3. A faculty member's fringe benefits will continue while he/she is on sabbatical assignment, leave with pay, or leave without pay.

\*Added 8/1/06

4. Recipients of sabbatical assignment or leave with pay are obligated to return to their duties at the University for at least one academic year or refund sabbatical or leave pay to the University, unless mutual agreement is reached otherwise.
5. Recipients of sabbatical assignments or leave with pay are under contract to the University and may not accept any other employment, unless prior written approval has been granted by the University.
6. Recipients of leave with pay and sabbatical assignments will be required to submit a final report of activities within the first semester upon their return to the respective Department Head and the Vice President for Academic Affairs.

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## A. Sabbatical Assignment

The sabbatical assignment is a benefit available to outstanding, tenured professors at Arkansas Tech University, to support their ability to engage in research, scholarship, artistic and creative pursuits. The purpose of the sabbatical assignment is to promote professional growth of faculty members, better teaching, and the overall intellectual environment of the University. Sabbatical assignments are not for the purpose of obtaining additional course work or a terminal degree.

1. Sabbatical assignments may be awarded for:
  - a. the fall semester, the spring semester, the summer term, or any combination thereof, not to exceed one academic year;
  - b. with full pay, if supporting documentation warrants it, not to exceed one academic year;
  - c. with partial pay, not to exceed one academic year.
2. Any tenured faculty member employed by the University for a period of six years or more will be eligible for a sabbatical assignment.
3. Any faculty member on sabbatical assignment will be paid at the agreed upon rate regardless of paid income from other sources.
4. A faculty member who receives a sabbatical assignment shall be given the same consideration for salary raise and promotion which he/she would receive if not on assignment.
5. The Sabbatical Committee shall be a Subcommittee of the Faculty Salary, Benefits, and Awards Committee. It will consist of six faculty members, three members from the Faculty Salary, Benefits, and Awards Committee, and three members appointed by the Vice President for Academic Affairs. The membership of the Sabbatical Committee shall be representative of the University, with at least one member from each School and one member at large. Members of the Sabbatical Committee shall serve staggered terms.
6. Sabbatical assignment will be awarded according to merit, on a university-wide competitive basis. Faculty members requesting sabbatical assignments must follow a formal application process.

Each faculty member will:

- a. Submit a plan of the proposed activities and a salary request, along with a rationale for the salary request, to the Department Head and the Dean of the School for approval.
- b. Submit a detailed proposal to the Sabbatical Committee which shall include:
  - (1) supporting letters from the Department Head and the Dean of the School;
  - (2) an abstract of the proposal activities;
  - (3) a rationale for the requested salary level, including a budget;
  - (4) a detailed plan, including a time table, of the sabbatical activities;

(5) a plan for dissemination.

c. The Sabbatical Committee will consider proposals submitted by September 15. Proposals may be considered up to one year in advance.

d. The Sabbatical Committee will meet within seven days after the deadline, consider all proposals and recommend the most meritorious proposal(s) to the Academic Vice President and to the President of the University for approval.

7. \*Specific instructions on making application for sabbatical leave are available on the ATU website at <http://research.atu.edu>. Click on the sabbaticals link.

#### B. Sabbatical Replacement Cost Fund

In order to support the professional development of faculty on sabbatical assignment, Arkansas Tech University should maintain a sabbatical replacement cost fund.

1. The sabbatical replacement cost fund should cover the costs incurred by a department replacing a faculty member on sabbatical assignment.

2. The sabbatical replacement cost fund shall be part of the budget of the Vice President for Academic Affairs.

3. The sabbatical replacement cost fund should be maintained at one full-time faculty position per year.

#### C. Leave with Pay

Leave with pay is a benefit available to tenured and untenured faculty members to assist them in obtaining additional training, advanced course work, a terminal degree, scholarship and research.

1. Leave of absence with pay may be granted to faculty members who have a minimum of three years of service to the University.

2. Generally, remunerations will be one-half pay for one semester or one-fourth pay for two semesters.

3. Exceptions may be made in minimum years of service and rate of remuneration when leave is taken at the request of the University. An example would be a leave of absence granted for advanced study as agreed to during the hiring process.

4. A faculty member applying for leave with pay should submit a plan of the proposed activities to be undertaken during the leave for approval to his/her Department Head, the Dean of the School, the Vice President for Academic Affairs, and the President of the University.

#### D. Leave without Pay

All faculty members, tenured or untenured, are eligible for a leave of absence without pay. Requests for leave without pay should follow the same procedure as requests for leave with pay.

\*Updated 8/1/05

## **Summer Faculty Fellowships**

As an aid in the professional growth of the faculty, the Board of Trustees has authorized the annual award of a limited number of faculty fellowships for summer study and for other faculty development activities, as recommended by appropriate academic administrators, that would enhance the effectiveness of the faculty member. Generally, the amount for each fellowship will be equivalent to the salary which the grantee would have received for teaching one summer term. The fellowship award becomes an integral part of the faculty member's contractual agreement with the University.

Applications are to be submitted in letter form by February 1 through the Department Head and Dean of the School to the Vice President for Academic Affairs. The application is expected to outline the applicant's summer plans and, in instances where the activity is other than summer study, should include a statement of how such activity is expected to benefit the University and enhance the requester's effectiveness as a faculty member. Applications for summer study should include the institution to be attended, the dates of enrollment, nature of the projected summer courses or other studies, and the relationship of this study to the applicant's teaching and graduate program. The Department Head and School Dean, in their endorsements, will submit their recommendations and add any pertinent information, including the effect upon staffing the University's summer session.

The Vice President for Academic Affairs will submit applications to the Faculty Salary, Benefits, and Awards Committee for its recommendations and endorsements prior to making final recommendations to the President. The President will submit his/her nominations, with the appropriate amount of each grant, to the Board of Trustees for final approval.

## **On-Campus Study**

Faculty members may enroll for credit or for audit, at no cost, in undergraduate and graduate courses. Procedures for utilizing this aid for on-campus study are listed in the "Faculty Benefits and Privileges" section of this handbook. A faculty member may participate in the learning activities of classes offered through class visitation, upon approval of the class instructor.

## **Other Opportunities for Professional Growth and Development**

Requests of funding for developmental activities not listed in this section and for activities requiring support in excess of that available through departmental budgets should be made in consultation with the Department Head/Dean to determine the appropriate method of application.

### **\*FACULTY RECOGNITION**

#### **\*Faculty Excellence Awards**

The Faculty Excellence Awards were established in spring, 1996, by the Arkansas Tech University Board of Trustees as part of an effort to continually promote and recognize distinguished service. Full-time faculty, who are tenured and hold the rank of either associate professor or professor, are nominated by their peers for awards in the areas of teaching, scholarly activity, and service. The nominees are given the opportunity to submit portfolios for review by an Excellence Award Committee; after evaluation of the portfolios submitted, the committee selects a faculty member to be recognized for each category. The recipients are

awarded a stipend of \$2,000 and a plaque in recognition of their accomplishments during the spring commencement ceremonies. The Excellence Award Committee is composed of seven faculty members: three faculty selected by the Vice President for Academic Affairs who traditionally selects the previous year's three recipients of the excellence awards (the recipient of the teaching award serves as chair); three faculty selected by the Faculty Senate chair; and the Chair of the Faculty Senate.

#### **\*Publication of Scholarly Works**

During spring, 2004, the Deans Council voted to recognize the scholarly accomplishments of faculty by publishing these activities once each calendar year. Faculty are asked to submit information concerning certain scholarly works each fall semester to their department heads and deans. The information is sent to Academic Affairs by mid-December for compilation and publication each spring semester. Scholarly activities to be recognized generally include the following: publications; presentations at a professional meeting; artistic compositions, performances and exhibitions; grants and other sponsored projects; professional awards and recognition; and faculty excellence awards.

### PRIVATE GIFTS TO ARKANSAS TECH UNIVERSITY

Securing private gifts for Arkansas Tech University is a team effort. Faculty, staff, and administrative personnel are considered to be the principal members of the fund-raising team at Arkansas Tech University. The contacts and communication each employee at Tech has with the students throughout their college careers, and afterwards, is an important first step in developing alumni who care enough about their alma mater to contribute to its support. The Arkansas Tech University Foundation serves as a channel for all private gifts which benefit Arkansas Tech University. \*All Arkansas Tech University fundraising activities must be approved in advance of the activity through the Development Office, Administration Building, Room 209.

#### **Purpose**

The Foundation partners with Arkansas Tech to strengthen and further the University's mission. The Arkansas Tech University Foundation is recognized by Arkansas Tech's Board of Trustees as a private partner, tax exempt, and an independent organization to receive and manage private gifts. The Arkansas Tech University Foundation maintains accounts for many of the academic departments and collegiate programs, as well as scholarship accounts. These accounts receive contributions from donors who direct that their gifts be used by a particular department, or to support the Alumni Association, the Green and Gold Booster Club, or any of the other student programs on campus. The appropriate dean, department head, or other program advisor may request expenditures from these funds, to support travel, professional meetings, luncheons, general supplies, or other discretionary spending needs.

Private gifts may be from individuals, corporations, and other foundations. Gifts received may be in the form of any of the following:

1. \*Cash
2. Stocks or other securities
3. Real estate
4. Tangible personal property such as art, books, equipment, etc.
5. Trusts

\*Added/amended 8/1/04

6. Interest income from trusts
7. Cash value of life insurance when all incidents of ownership have been given to the Arkansas Tech University Foundation
8. Transfer of ownership in a residence, farm, or business
9. Funds from private foundations, corporations, and businesses; and
10. Corporate matching gifts

### **Management**

The Foundation is governed by a volunteer Board of Directors. Designation of membership is done through a selection process. The volunteer members of the Foundation Board provide prudent and sound investment management. They also work closely with the Office of Development to raise private funds from corporations, foundations, and individuals.

### **Faculty and Staff Payroll Deductions**

Through a program of payroll deductions, faculty and staff members may authorize a contribution withheld from their monthly paycheck, to be used specifically by the academic department or program of their choice. Because the Foundation is a separate, non-profit organization, all contributions received are qualified tax deductible charitable contributions. Necessary forms can be obtained from the Office of Development in Administration 209, by phone at 968-0400, or by E-mail to [\\*donna.pratt@atu.edu](mailto:donna.pratt@atu.edu).

### **A Strong Partnership for Leadership**

The strong partnership between Arkansas Tech University and the Arkansas Tech University Foundation has enhanced private giving through the years. This partnership will also serve as the catalyst that will allow Arkansas Tech to maintain its educational leadership and academic excellence into the next century.

\*Amended 8/1/07