

## II

### RELATION OF THE FACULTY MEMBER TO THE UNIVERSITY

#### GUIDING PRINCIPLES

Institutions of higher education are established for the common good and the uninhibited search for truth and its exposition. This Faculty Handbook promotes the principles of academic freedom, shared governance, and tenure, and establishes policies and procedures that assure the common good and the uninhibited pursuit of truth at Arkansas Tech University.

The Faculty Handbook is a living document. Tenure, promotion, and annual evaluation policies outlined in the Faculty Handbook are subject to change over time. Officials evaluating faculty for tenure, promotion, and annual evaluation will take into account policy, procedure, and changes in standards that may have occurred over the course of the candidate's probationary period. Deliberations in all personnel matters should be kept confidential.

The policies and guidelines stated in the Faculty Handbook are intended to guide university processes but should not be construed to be a contract. The promotion, tenure, and evaluation procedures contained in this August 2018 revision of the Faculty Handbook shall apply to all full-time faculty whose Arkansas Tech University contract start date is on or after June 1, 2018. Full-time faculty whose contract start date was prior to June 1, 2018, will have the option of following the promotion, tenure and evaluation procedures in this Handbook (2018 update) should they so choose or the option to remain under the provisions of the 2017-18 Faculty Handbook; however, the full-time faculty members opting to follow the prior Handbook must indicate their desire to do so in writing per a letter to the Vice President for Academic Affairs that is received no later than September 15, 2018, and must apply for promotion and/or tenure by fall, 2022.

The guiding principles in this section are for the benefit of all who are involved with or affected by the policies and programs of the institution. A college or university is a meeting place of ideas. 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."

#### Faculty Membership

Academic appointments at Arkansas Tech University include all employees with full-time and part-time teaching assignments. Faculty membership is limited to all tenured, tenure-track, and instructor-track ranks. When speaking or writing as citizens, or when expressing views on professional matters, faculty members, as well as all those with academic appointments, should be free from institutional censorship or discipline. But, as members of the community, faculty members and those with academic appointments at Arkansas Tech University have certain special obligations. They should remember that the public may judge their profession or the institution by their utterances and make every effort to indicate when they do not serve as a voice for the institution.

The professional life of faculty members should reflect and be shaped by individual strengths and interests, curricular/program requirements of departments, and the mission of Arkansas Tech University. Full time appointments for non-tenure track, tenure-track, and tenured faculty carry expectations in the areas of teaching, scholarship, and service as appropriate to their contracted assignments. Within the guidelines of this Faculty Handbook, any activity or practice that may be considered appropriate professional engagement in terms of teaching, scholarship, or service should be primarily determined by the department or program in which the faculty member holds appointment. The determination of criteria for professional engagement and faculty evaluation will be a joint effort between department heads and the faculty in the department or program. Such criteria will be within the norms of the profession and subject to approval of the appropriate academic dean.

### Shared Governance

Arkansas Tech University subscribes, in policy and practice, to high standards of shared governance. The complex variety of tasks performed by institutions of higher learning require interdependence amongst the Board of Trustees, the administration, the faculty and students. The faculty has primary responsibility for advice and recommendations in such fundamental areas as curriculum, research, faculty status, and aspects of student life that relate to the educational process. Responsibility for faculty status includes making recommendations for appointments, promotions, tenure and termination. Advice and recommendations in these matters is made by faculty action through established procedures outlined in this Faculty Handbook.

### Academic Freedom

In keeping with the mission of the University 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 academic tenure. Arkansas Tech University recognizes that academic freedom is integral and necessary to promote freedom of inquiry for its faculty in both teaching and research. A faculty member is entitled to freedom in research and the publication of results from research, subject to the adequate performance of other academic duties. A faculty member is entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.<sup>1</sup>

### Tenure

Tenure is a means to guarantee academic freedom in teaching and research. Academic freedom is indispensable to the success of an institution in fulfilling its obligations to its students and society.

Tenure also is intended to create an environment at the university that fosters continuity in its experienced faculty and in the academic functions for which faculty are responsible. Appointment to tenure recognizes a commitment by the faculty member to exemplify the highest professional and academic standards.

The award of tenure is made by the Arkansas Tech University Board of Trustees and entails special and important obligations. The tenured faculty and administration should create and

---

<sup>1</sup> The university's "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.

sustain an intellectual environment where non-tenured colleagues can think, investigate, speak, write, and teach, secure in the knowledge that their intellectual vitality is both essential and welcome.

Tenured faculty must play a meaningful role in shaping the character of the faculty and in assuring its quality. Therefore, the duty to seek the best qualified persons for appointment weighs most heavily on the tenured faculty, who are also entrusted with responsibility for retention and promotion recommendations. The roles that tenured faculty play in department, college, and university promotion and tenure decisions, in university-level appeals of those decisions, and in university-level appeals of termination for cause are carried out in committees specifically established in this Faculty Handbook for those purposes.

To meet its responsibilities in annual review, mid-term review, tenure and promotion, and long range planning, the tenured faculty in each academic department shall make its recommendations as the standing Department Promotion and Tenure Committee (DPTC). The committee shall communicate its recommendations in writing to department heads, deans, and, where appropriate, the administration of Arkansas Tech University.

### Collegiality

Faculty members at Arkansas Tech University are expected to be effective teachers, scholars in their disciplines, and to provide meaningful service to the university and community. Overarching expectations of all faculty include professionalism and collegiality in teaching, scholarship, and service. Collegiality is not a separate criterion upon which any faculty member is assessed, but is assumed to be an integral aspect of the faculty member's professional life. The absence of collegiality in all aspects of a faculty member's professional life is considered to be a deficiency. Collegiality among associates involves appreciation of and respect for differences in expertise, ideas, and background, as well as cooperation and collaboration in achieving department, college, and university goals. The concept of collegiality, however, should be distinguished from congeniality; to be congenial is parallel with sociability and agreeableness, while collegiality is a positive and productive association with colleagues. A faculty member need not be congenial to be collegial.

### Faculty Load

Arkansas Tech University is dedicated to student success. Although many factors play into college student success, faculty interaction is one of the essential experiences associated with college student academic achievement and persistence. Faculty workload directly impacts both formal (classroom) and informal (out-of-classroom) interaction with students. Maintaining appropriate faculty teaching loads (typically twelve credit hours per semester) will allow all Arkansas Tech University faculty to work with students and community members for the betterment of Arkansas, the nation, and the world.

## **ACADEMIC APPOINTMENTS**

The terms and conditions of every academic appointment and any subsequent extensions or modifications of an appointment, special understandings, and notices will be stated or confirmed in writing and delivered to the appointee. Untenured persons with academic appointments will be informed each year in writing of their appointment status and will receive annual evaluations reflecting their performance.

## Types of Academic Appointments

Academic appointments at Arkansas Tech University include tenured, tenure-track, instructor-track, and visiting:

### 1. Tenured Appointments

Faculty contracted in tenured appointments include the ranks of assistant professor, associate professor, and professor. Tenured faculty members have completed their probationary period and have been granted tenure through the processes outlined in the Faculty Handbook. Primary duties of tenured faculty include teaching, scholarship, and service, which are evaluated annually by the department head and peer reviewed by the DPTC. Tenured faculty are also expected to participate in activities such as retention, evaluation, and promotion of junior faculty to maintain academic quality in the university.

Tenured appointments serve as a commitment by the university to a sequence of annual appointments. These annual appointments are terminated only by resignation, retirement, removal for cause, financial exigency, or discontinuance of a program. While contracts are annual, tenure shall be considered an act of good faith on the part of the university to guarantee continued employment of tenured faculty members. A faculty member may be tenured only with respect to their academic rank and not with respect to any administrative titles or assignments.

Unless otherwise specified, tenured faculty are required to have terminal degrees from accredited institutions in their respective fields, as recommended by the department head, DPTC and dean<sup>2</sup>, and accepted by the Vice President for Academic Affairs.

### 2. Tenure-Track Appointments

Faculty members in tenure-track positions are eligible for tenure but have not completed their probationary period. Tenure-track faculty are typically required to have terminal degrees from accredited institutions in their respective fields, as recommended by the department head, DPTC and dean and accepted by the Vice President for Academic Affairs. Primary duties of tenure-track faculty members include teaching, scholarship, and service, which are evaluated annually by the department head and peer reviewed by the DPTC. Tenure-track faculty may hold the ranks of professor, associate professor, and assistant professor and must complete the tenure review processes outlined later in this Faculty Handbook to attain tenured status.

Unless otherwise specified in the faculty member's letter of appointment, tenure-track appointments include a probationary period with eligibility to apply for tenure and/or promotion in the academic year following five academic years of service at Arkansas Tech University. An academic year starts in the fall semester and includes both fall and spring semesters. The academic year ends with the conclusion of the spring commencement

---

<sup>2</sup> Arkansas Tech University recognizes that within the university community, there is a valuable body of faculty who have been tenured and promoted without a terminal degree. These legacy faculty members are eligible for all privileges extended by the university to tenured faculty.

ceremony. The probationary period is six full academic years. For faculty members not beginning their employment at the start of the academic year, the first year of their probationary period will start in the following academic year. During their probationary period, tenure-track faculty members receive annual contracts with the possibility of non-renewal contingent upon violation of university policy or failure to meet departmental standards for teaching, scholarship, and service. A faculty member may generally serve in a tenure-track position without tenure for no more than six academic years, including any reduction of years awarded for prior professional activities in the initial contract. Final tenure decisions should be made in the candidate's sixth academic year, as specified by the tenure and promotion calendar set by the Vice President for Academic Affairs each academic year. In cases where tenure is offered at the time of hire, the DPTC will serve in an advisory role to the administration in making the tenure recommendation to the Board of Trustees.

At the time of initial appointment, faculty members will be advised of the guidelines and procedures generally employed in decisions affecting renewal and tenure. Any special guidelines adopted by the particular department or college will 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 application. Tenure-track faculty who do not receive tenure shall be given a timely notice of non-reappointment in accordance with standards set forth in the Faculty Handbook and will receive a terminal appointment for the following academic year.

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 recommendation or decision; and, the faculty member will be advised in writing of the reasons which contributed to that decision.

Regardless of the stated term or other provisions of any appointment, written notice that a 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 January 15 before the expiration of an individual's first-year probationary appointment;
- (b) by October 15 before the expiration of an individual's second-year probationary appointment;
- (c) at least 12 months before the expiration of a probationary appointment of an individual who has had two or more years of service at the institution.

Insofar as the faculty member alleges that the decision against renewal was based on inadequate procedural consideration, the faculty member may request that the Faculty Welfare Committee (FWC) review his or her case in terms of the relevant procedural standards specified in this Faculty Handbook.

A tenure-track faculty member may receive approval for a leave of absence or an extension of the probationary period for extraordinary circumstances. The applicant requesting an extension must appeal in writing to the dean of the college. If the dean of the college determines that a leave of absence or extension of the probationary period is warranted, then

a recommendation will be made to the Vice President for Academic Affairs. The Vice President for Academic Affairs will indicate in writing whether the probationary period has been extended and specify its length in time.

Prior professional experience at an accredited college or university or equivalent professional experience may be counted towards the probationary period of applicants. The dean, in consultation with the hiring committee and the department head, will recommend to the Vice President for Academic Affairs whether credit will be given to the faculty member. Departmental Promotion and Tenure Committees may recommend guidelines for providing credit towards tenure and promotion. Time credited to the faculty member for promotion and tenure must be included in the initial notification of appointment.

### 3. Instructor Track Appointments

While tenured and tenure-track appointments should make up the core of the university faculty, instructor-track positions may be established to fill specific and limited departmental needs. Instructor-track faculty are required to have at least a Master's degree in their respective fields. Primary duties of instructor-track faculty members may include teaching, scholarship, and/or service. These duties are evaluated according to assignment each year by the department head and peer reviewed by the Departmental Promotion and Tenure Committee. Faculty contracted in instructor-track appointments are eligible for promotion but are not eligible for tenure. The appointments of instructor-track faculty may be terminated for cause prior to the expiration of the period of appointment. Instructor-track faculty may hold the ranks of instructor, senior instructor, and university instructor.

New instructor-track appointments will start at the instructor level. Unless otherwise specified in the faculty member's letter of appointment, faculty at the rank of instructor are eligible for promotion to senior instructor in their sixth year of service as an instructor at Arkansas Tech University. Senior instructors are eligible for promotion to university instructor in their sixth year of service as a senior instructor at Arkansas Tech University. Instructor-track appointments are renewed annually, contingent upon university need and satisfactory performance.

At the time of initial appointment, instructor-track faculty members will be advised of the guidelines and procedures generally employed in decisions affecting renewal. Any special guidelines adopted by the particular department or college will be brought to the faculty member's attention. Faculty members will be advised of the time when decisions affecting renewal are ordinarily made, and will be given the opportunity to submit material which they believe will be helpful to the adequate consideration of their appointment. Those not to be retained shall be given a timely notice of non-reappointment as discussed hereafter.

When a recommendation or a decision not to renew an instructor-track 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 recommendation or decision; and, the faculty member will be advised in writing of the reasons which contributed to that decision. Regardless of the stated term or other provisions of any appointments, written notice that an initial 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 January 15 before the expiration of an individual's first-year probationary appointment;

(b) by October 15 before the expiration of an individual's second-year probationary appointment;

(c) at least 12 months before the expiration of a probationary appointment of an individual who has had two or more years of service at the institution.

Insofar as the faculty member alleges that the decision against renewal was based on inadequate procedural consideration, the faculty member may request that the FWC review his or her case in terms of the relevant procedural standards specified in this Faculty Handbook.

#### 4. Visiting Appointments

Academic staff contracted in visiting positions of any rank are not eligible for tenure or promotion. Visiting academic staff are required to have at least a Master's degree in their respective fields. The primary responsibility for visiting faculty is teaching and related responsibilities (typical load 15 credits per semester). In some cases, responsibilities may include scholarship, and/or service. Visiting academic staff are evaluated according to assignment each year by the department head in consultation with the Department Promotion and Tenure Committee. Appointments of visiting academic staff are considered at will and may be terminated for cause prior to the expiration of the period of appointment.

The designation "visiting" is reserved for academic staff hired on a temporary basis to meet programmatic needs. The term of hire for a visiting faculty member is to be determined by department heads and deans. As special and temporary appointments, the maximum term of service for a visiting faculty member of any rank designation is three consecutive years. This maximum term does not apply to continuing appointments for visiting faculty whose contract start date was prior to June 1, 2018.

#### 5. Administrative Appointments

The administrative functions, titles, and status of the president, vice presidents, deans, registrar, librarian, 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 faculty members.

### **FACULTY EVALUATION, PROMOTION, AND TENURE POLICIES AND PROCEDURES**

A complete credential file on each faculty member is maintained in the Academic Affairs Office. Each first-year faculty member will complete the "Faculty Record" and submit it to the Academic Affairs Office during the first week of the fall semester. The "Faculty Record" is housed in the Academic Affairs office and kept up-to-date by working with the faculty members and their department heads. Each faculty member will provide the Academic Affairs Office with up-to-date copies of all official college transcripts for inclusion in the individual's personnel file.

Portfolios for annual evaluation, mid-term review, promotion, and tenure may be submitted in hard copy or digital format per the timeline set by Academic Affairs. Digital format standards for portfolio submission will be established by the Faculty Senate in consultation with the Vice President for Academic Affairs.

### Definition of Roles

#### 1. Faculty and Academic Staff

Faculty and academic staff fulfilling teaching, scholarship, or service expectations as part of their normally assigned duties are required to participate in the annual faculty evaluation process. Tenure-track faculty must be evaluated for tenure in the sixth academic year of their probationary period and undergo that review to continue employment at Arkansas Tech University. Any reduction in the time of a candidate's probationary period for tenure must be agreed upon at the time of employment and clearly stated in the faculty member's letter of appointment and annual contract. Tenured, tenure-track, and instructor-track faculty may be evaluated for promotion in or after the sixth academic year of their current rank. Any reduction in the time of a candidate's probationary period for promotion must be agreed upon at the time of employment and clearly stated in the faculty member's letter of appointment and annual contract.

#### 2. Departmental Promotion and Tenure Committee

The Departmental Promotion and Tenure Committee (DPTC) performs annual and mid-term peer review evaluations of faculty. Additionally, DPTC members vote to recommend or not recommend tenure and promotion for tenured, tenure-track and instructor-track probationary faculty as applicable. Within the first two weeks of the academic year, the department head will call a meeting of the members of the DPTC. The DPTC will elect a chair to organize meetings, collect portfolios, and serve as the primary point of contact for the DPTC.

The DPTC consists of all tenured faculty at the associate rank or above in the department, excluding the department head. Each DPTC must have a minimum of three members. If a department has fewer than three tenured faculty members at associate rank or higher, then that department should seek out additional membership from departments in a closely related field with comparable standards for evaluation, promotion, and tenure. The term of service for faculty members serving on an external DPTC shall be two years. Faculty members serving on the DPTC of another department may be exempt from serving on the DPTC of their own department if they so choose and is approved by their academic dean. Departmental Promotion and Tenure Committees may create a peer review subcommittee of no fewer than three members to perform annual and mid-term faculty peer review; all members of the DPTC are expected to participate in mid-term, tenure, and/or promotion decisions. When considering the promotion of a non-tenure-track instructor to a higher rank, then, when possible, one instructor at a higher rank from within or outside of the department will be selected by the DPTC membership to serve as an ad hoc member of the DPTC for the evaluation of that specific instructor's application for promotion; instructors will not participate in tenure and/or promotion discussions or decisions for tenure-track or tenured faculty.

The DPTC shall provide a written formative peer assessment of each faculty member's performance in teaching, scholarship, and service for annual faculty peer review, and mid-term reviews. These formative evaluations will be submitted to both the faculty member and

the department head. The DPTC will report the number of votes for and against each candidate's application for tenure and/or promotion along with any rationale, written explanation, or context for the vote that the committee wishes to provide. This report will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure and promotion process. To avoid conflicts of interest, any member of the DPTC up for promotion review will be excused from the review and voting on their own materials, and the DPTC may include a qualified representative from a closely related field for that review and vote. DPTC members also shall recuse themselves or be excused by a majority vote of the DPTC in cases where other conflicts of interest may occur. A replacement may be appointed by the DPTC membership. Departmental Promotion and Tenure Committees with at least three members at the rank of full professor in the candidate's discipline will limit voting on promotion to full professor to those members with the rank of full professor in the candidate's discipline. In all other cases, DPTC voting on promotion to full professor will be limited to the three highest ranking members of the DPTC in the candidate's discipline or closely related field.

The DPTC is expected to work with the department head to establish guidelines for evaluation of all faculty of each type and rank, and these guidelines would be made available to the faculty members at the start of the evaluation period, giving the faculty member adequate time to meet expectations. Academic evaluation, conducted by learned peers within one's discipline, is an essential component of the promotion and tenure process.

### 3. Department Head

The department head is a faculty member that receives a reduction in teaching load each semester, negotiated with the dean of the college, to perform administrative duties in the department. As part of those administrative duties, the department head is required to perform annual faculty evaluations, mid-term reviews for tenure-track probationary faculty members, and promotion and tenure reviews for all tenured, tenure-track, and instructor-track faculty in the department, as applicable. As faculty members, department heads are required to undergo all DPTC evaluations required of other faculty members, including annual faculty evaluations and tenure or promotion reviews. Deans will evaluate the administrative duties of department heads as well as their teaching, scholarship, and service.

Department heads are expected to evaluate all departmental faculty members' and visiting academic staff's teaching, scholarship, and service, as applicable. They will offer routine, assessment of the faculty member's progress toward tenure, promotion and continued appointment, as applicable. Department head evaluations are expected to consider peer review recommendations and tenure and promotion votes made by the DPTC.

Department heads and the DPTCs work together with the deans to identify guidelines for evaluation of all faculty of each type and rank. These guidelines must be made available, at the start of the evaluation period, to the faculty; hence giving faculty members adequate time to meet expectations.

### 4. Dean of the College

The dean of the college (dean) serves as part of the administration of Arkansas Tech University. As such, the dean has numerous responsibilities including mid-term reviews for tenure-track probationary faculty members, and promotion and tenure reviews for all tenured, tenure-track, and instructor-track faculty in the department, as applicable. The dean

is expected to offer honest assessment of the standing of any faculty member over the term of their employment, especially in terms of reviews leading to contract renewal and promotion and tenure decisions. This assessment is expected to consider recommendations made by the DPTC and department head. Given the dean's position as an administrator, his or her evaluation of faculty will be broader in scope by placing individual accomplishments and qualifications of faculty in a context of departmental, program, and college needs.

The dean is expected to communicate with department heads and DPTCs to ensure consistent standards for evaluation of all faculty of each type and rank across departments. The dean also must take into account the unique characteristics that may exist for each department in all of his/her promotion and tenure recommendations. The recommendation of the dean is included in the faculty member's portfolio as it progresses to the University Promotion and Tenure Committee and the Vice President for Academic Affairs.

#### 5. University Promotion and Tenure Committee

The University Promotion and Tenure Committee (UPTC) performs promotion and/or tenure reviews for all faculty applying for tenure and/or promotion at the university. The UPTC is tasked with recommending approval or disapproval of all applications submitted. The UPTC should carefully consider all recommendations made by the DPTC, department head, and dean, and is expected to take into account the unique characteristics that may exist for each department in all of its promotion and tenure recommendations. The committee is also expected to keep in mind that academic evaluation, conducted by learned peers within one's discipline is an essential component of the promotion and tenure process.

The UPTC will report the number of votes for and against each candidate's application for tenure and/or promotion along with any rationale, written explanation, or context for the vote that the committee wishes to provide. This report will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure and promotion process.

The UPTC shall consist of one tenured faculty member at the associate rank or higher from each of the six colleges (i.e., Arts and Humanities, Business, Education, Engineering and Applied Sciences, Natural and Health Sciences, and eTech). Faculty serving as department heads or deans are not eligible for appointment to the UPTC. Persons applying for promotion may not serve on the UPTC. Any UPTC member with a conflict of interest relating to a particular application shall recuse themselves or be excused by this committee from reviewing that application.

Three of the six members of the UPTC shall be appointed by the chair of the Faculty Senate with the Faculty Senate's advice and consent, and three members shall be appointed by the Vice President for Academic Affairs. Appointments shall be for three years. The chair of the Faculty Senate and the Vice President for Academic Affairs 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. Members of the UPTC should not serve successive terms.

#### 6. Vice President for Academic Affairs

The Vice President for Academic Affairs (VPAA) is the chief academic officer at Arkansas Tech University. As such, the VPAA has numerous duties and is primarily responsible for managing the internal academic operations of the university. One responsibility of the VPAA is to review the performance of faculty members as part of the promotion and/or

tenure process. The review of the VPAA is expected to consider the recommendations made by the DPTC, department head, dean, and the UPTC. Given the VPAA's position as an administrator, his or her evaluation of faculty will be broader in scope by placing individual accomplishments and qualifications of faculty in a context of departmental, program, college, and university needs.

The VPAA may communicate with the department heads, DPTCs, deans and the UPTC to clarify the standards for evaluation of all faculty of each type and rank across departments. The VPAA is expected to take into account the unique characteristics that may be present across departments in all of its promotion and tenure recommendations, keeping in mind that academic evaluation, conducted by learned peers within one's discipline, is an essential component of the promotion and tenure process. The recommendation of the VPAA is included in the faculty member's portfolio as it progresses to the President and Board of Trustees.

#### 7. President of the University

The President is the chief executive officer at Arkansas Tech University. As such, the President has numerous duties and responsibilities in managing both internal operations and external relationships for the university. As part of the tenure and promotion process, the review of the President is expected to consider the recommendations made by the DPTC, department head, dean, UPTC, and VPAA, keeping in mind that academic evaluation, conducted by learned peers within one's discipline, is an essential component of the promotion and tenure process. Given the President's position as an administrator, his or her evaluation of faculty will be broader in scope by placing individual accomplishments and qualifications of faculty in a context of departmental, program, college, and university needs. The President makes the final recommendation to the Board of Trustees on tenure and/or promotion for a faculty member.

#### 8. Board of Trustees

The Board of Trustees (Board) is the final decision-making body for Arkansas Tech University. As such, the Board has final approval in all matters regarding faculty status, including promotion and/or tenure decisions.

#### Portfolios, Workload, and Weighted Evaluations

For accurate evaluation, faculty members are required to maintain a portfolio (electronic or physical according to department and university standards) providing evidence of effective teaching, scholarship and service, as applicable. Written guidelines for annual evaluation of teaching, scholarship, and service in each department will be established and amended in consultation with the Departmental Promotion and Tenure Committee, department head and dean (see Appendix A for a guide on creating a portfolio).

Percentage weights assigned to teaching, scholarship, and service are for evaluation purposes and indicate the relative emphasis of these duties for each individual faculty member. The weights reflect an estimate of the time spent on each of these duties during contracted hours. Department heads should keep in mind that as a general principle each single, three credit hour course equates to 20% of a tenure-track faculty member's workload per semester. No less than 20% of the tenure-track faculty member's total workload should be allocated to scholarship and

service. Where appropriate, instructor-track faculty and visiting academic staff may be contracted to teach a 100% workload (e.g. five three credit hour courses).

Weight adjustments in teaching, scholarship, and service in a given year will be agreed to by the faculty member and the department head and must be clearly justified in the written department head annual evaluation.

*It is the primary responsibility of each faculty member to ensure that adequate records are established, collected, maintained, and included in the portfolio for all forms of evaluation. Evidence should be current and related to the review period. Evaluations for promotion should consider accomplishments since promotion to the current rank.*

Those faculty members who are to be considered for annual evaluation, mid-term review, promotion and/or tenure are responsible for presenting evidence of their qualifications.

Faculty will be evaluated each year in the following three areas:

### 1. Teaching

Tenured and tenure-track faculty will dedicate no less than 60% of their workload to teaching unless contracted to a special assignment. Instructor-track faculty will dedicate no less than 80% of their workload to teaching unless contracted to a special assignment. Visiting academic staff assignments will vary according to need. Instructor-track faculty and visiting academic staff may be assigned to 100% teaching loads.

Teaching involves the transference of knowledge or skill to students. Teaching will be evaluated on the basis of:

- An annual peer review of the teaching portfolio conducted by the DPTC.
- An annual review of the teaching portfolio conducted by the department head.
- Other evidence of teaching effectiveness which may include but not limited to:
  - Objectives, syllabi, exams
  - Student learning outcomes (e.g., pre-test and post-test comparisons, objective mastery assignment results, etc.)
  - Course modification/improvement and teaching techniques
  - Advising and mentoring
  - Professional development in teaching
  - A university-wide, standard, student evaluation to measure effectiveness of classroom teaching.
  - In-class observation by faculty peers.

Faculty members are expected to remain current in their field through activities such as continuing education.

Note that student evaluations will be collected via an online system approved by the Faculty Senate and managed by the Office of Institutional Research. The Office of Institutional Research will collect and organize student evaluation data, as well as make results of student evaluation available to faculty members online or, if requested by the faculty member, in

paper form. All courses will be evaluated each semester, and department heads may exempt courses from evaluation under extraordinary circumstances (e.g. when a single student is registered for a course and his or her anonymity is compromised, or when a teacher of record is replaced half way through the semester). By state law, all student evaluations will include a question on English fluency of the faculty member or graduate teaching assistant (ACA 6-63-104).

## 2. Scholarly/Creative Activity

Tenured and tenure-track faculty will dedicate no less than 10% of their workload to scholarship unless contracted to a special assignment. Instructor-track faculty and visiting academic staff assignments will vary according to need. Instructor-track faculty and visiting academic staff may be assigned to 100% teaching loads.

Scholarship has four overlapping areas of concentration: the scholarship of discovery, integration, application, and teaching. The scholarship of discovery is most easily defined as “traditional” research – original research that expands human knowledge: “What is to be known, what is yet to be found?”. The scholarship of integration focuses on finding the interconnections between ideas and disciplines, which includes multi- and inter-disciplinary work that asks “What do the findings mean?”, especially in larger, societal contexts. The scholarship of application deals with applying faculty expertise to meet societal service needs, as long as the traditional research rigor and accountability are an integral part of the service activity. Finally, the scholarship of teaching includes not only performing research on pedagogy, but also consistently seeking, understanding, implementing and evaluating new knowledge of one’s own discipline that is utilized in the classroom to the student’s benefit.<sup>4</sup> Scholarship in any discipline at Arkansas Tech University may fall under each of these broad headings. Examples are provided below of each category as a general reference, but this is not meant as an exhaustive list:

- Discovery
  - 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; original musical or theatrical compositions, stage design, etc.).
  - Supervision of graduate and undergraduate research or capstone projects; serving on graduate thesis committees; advisor for graduate research project; reader of graduate research paper.
- Integration
  - Meta-analysis, literature reviews, multi- and inter-disciplinary collaborations, musical or theatrical performance-related activities.
  - Editing articles, journals, reports, grant applications, essays, monographs, music scores, plays, stories and other creative endeavors, as well as writing textbooks, newsletters, popular publications, newspapers, documents, other public forums.
- Application
  - Conducting workshops, short courses, in-service education programs, forums or seminars in addition to normal teaching load.

---

<sup>4</sup> See Ernest Boyer’s “Scholarship Reconsidered: Priorities for the Professoriate” (1990).

- Preparation of grant proposals with emphasis placed upon successful solicitations.
- Providing consulting services, or other service activities tied directly to one's academic field.
- Teaching
  - Pedagogical research
  - Significant and innovative revisions of courses, programs or curricula including (but not limited to) production of publicly available teaching materials, manuals, workbooks, study guides, films, videos, computer software, etc.

Although each of the examples cited above constitutes scholarly activity, emphasis should be placed on original, peer-reviewed contributions that are shared and disseminated.

### 3. Service

Tenured and tenure-track faculty will dedicate no less than 10% of their workload to service unless contracted to a special assignment. Instructor-track faculty and visiting academic staff assignments will vary according to need. Instructor-track faculty and visiting academic staff may be assigned to 100% teaching loads.

Service involves providing help or support to a community through a combination of impactful activities that includes, but is not limited to the following:

- Service to the institution
  - membership on university committees
  - membership on college or departmental committees
  - participation in self studies
  - participation in academic program development
  - sponsoring/advising student organizations
  - participation in student recruitment
  - serving as an official representative of the University
  - grant writing (non-research types of grants)
  - faculty level administrative duties (without release time)
  - teaching uncompensated overloads
- Service to the profession
  - membership in professional organizations
  - attendance at professional meetings
  - holding office in professional organizations
  - serving on committees of professional organizations
  - providing uncompensated consulting services (This may not be the sole component of the professional service area.)
  - organizing, conducting, or assisting with professional meetings
  - serving on committees for accreditation
  - service to public schools

### 3. Service to the community

- participating in community projects
- holding public office
- assisting public organizations
- public activity in organizations
- service to public schools

Individuals and committees evaluating portfolios for promotion or tenure should be aware of the diversity of disciplines; in many circumstances, professional expectations and practices will vary from discipline to discipline and that criteria for evaluating faculty on teaching, scholarship, and services may also vary from discipline to discipline.

#### Annual Review and Evaluation:

Arkansas code (ACA 6-63-104) states that “each state-supported institution of higher education in Arkansas shall conduct a rigorous, consistently applied, annual review of the performance of all full-time faculty members. This review shall include assessments by peers, students, and administrators and shall be utilized to ensure a consistently high level of performance and serve in conjunction with other appropriate information as a basis for decisions on promotion, salary increases, and job tenure.”

Annual evaluation at Arkansas Tech University is intended to promote better teaching, scholarship, and service of the faculty. All individuals holding faculty appointments will undergo an annual evaluation of teaching, scholarship, and service by the DPTC and the department head. Annual evaluations will be used in reappointment, promotion, and tenure decisions. Criteria used by the department head in faculty evaluation must be determined in consultation with the DPTC and conform to general disciplinary standards.

Each tenured, tenure-track, and instructor-track faculty member’s portfolio will be peer reviewed annually by the DPTC and evaluated by the department head. Written departmental guidelines will be created by department heads in collaboration with the DPTC for annual evaluation of teaching, scholarship, and service. These guidelines will be made available for individual and committee reference in advance of the annual evaluation, giving the faculty member adequate time to meet expectations.

The types of annual review and evaluation are as follows:

#### 1. DPTC Peer Review

The DPTC will review the portfolio with the intent of providing formative feedback on teaching, scholarship, and service for all faculty members. The reviews will be conducted by the DPTC on all full-time faculty members regardless of rank, tenure, or status. Classroom visitation may be included in the peer review process. Classroom visitations for the purposes of peer review must be scheduled at least three working days in advance of a visit.

The DPTC will provide written feedback that helps mentor and prepare the faculty member for mid-term review, promotion, and/or tenure. For tenured faculty not seeking promotion,

the DPTC will provide feedback on teaching, scholarship, and service accomplishments for the previous year.

DPTC annual peer reviews are considered to be integral to the annual review process and will be included in the faculty member's portfolio along with the department head's annual evaluation.

## 2. Department Head Evaluation

Department heads will review each portfolio annually and provide written evaluation of teaching, scholarship, and service for all faculty members. The evaluation will be conducted by the department head on all full-time faculty members regardless of rank, tenure, or status. Classroom visitation may be included in the evaluation process. Classroom visitations for the purposes of evaluation must be scheduled at least three working days in advance of a visit. Written departmental guidelines on expectations in teaching, scholarship and service will be created by department heads in collaboration with the DPTC. These guidelines will be made available for individual and committee reference in advance of the annual evaluation, giving the faculty member adequate time to meet expectations.

The following five descriptive ratings will be used by department heads to rate faculty job performance in each of the three evaluation categories:

- Excellent
- Good
- Satisfactory
- Needs Improvement
- Unacceptable

For consistency across campus, department heads will use the descriptive terms above in evaluating teaching, scholarship, and service and will provide a written explanation of their evaluation in each category.

Copies of all DPTC reviews and department head evaluations will be forwarded to the dean of the college. The deans will provide to the Office of Academic Affairs copies of the DPTC reviews and department head evaluations along with a summary of all annual evaluations within their college.

## 3. Procedures for Tenured, Tenure-Track and Instructor-Track Faculty:

### a. Portfolio

A portfolio (electronic or physical) of teaching, scholarship, and service will be prepared annually by each faculty member and submitted to his or her DPTC. The portfolio will include the faculty member's previous annual evaluations, annual peer reviews, annual student evaluations, evidence of scholarship and service and other documentation of the prior year's professional accomplishments (see Appendix A on Portfolio creation). Portfolio materials and self-improvement plans become part of the faculty maintained documentation for evaluation at each level of the promotion and tenure process.

Portfolios of faculty members with tenure must contain summary results of the university-wide student evaluation instrument in at least one section of each type or level of course the faculty member teaches each year (e.g., lower level, upper level, general education, online, graduate course). Tenure-track and instructor-track faculty must provide summary results of

the university-wide student evaluation instrument for each course evaluated in each semester. Once submitted, no modifications or additions to the portfolio will be allowed.

b. DPTC

The DPTC will meet with each faculty member and provide an annual peer review of teaching, scholarship, and service. DPTCs may form a subcommittee of no fewer than three members to perform annual faculty peer review. The DPTC will produce a one to two page, written formative summary for each faculty member in terms of teaching, scholarship, and service, with recommendations for improvement. This document will be signed by the faculty member and submitted to the department head and dean prior to the department head's annual evaluation.

c. Department Head

The department head will annually evaluate the overall quality of teaching, scholarship, and service of each faculty member. The percentage weightings for teaching, scholarship, and service will be agreed to for the following year. Based on the weightings for the period under review, the department head will rate the faculty member as excellent, good, satisfactory, needs improvement, or unacceptable in each category. The department head will include a comprehensive summary of the three areas of evaluation for the faculty member with recommendations for improvement. This document will be signed by the faculty member and the department head and submitted to the dean.

All faculty members should meet individually with the department head, review the evaluation results, and formulate a plan for professional improvement for the coming year. At this meeting, the department head will present to the faculty member the written evaluation of the faculty member's performance in teaching, scholarly/creative activities, and service.

At the annual evaluation meeting, 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.

If the faculty member disagrees with any portion of the written annual review, he/she may attach a written statement citing the disagreement and the reasons for this disagreement, to the written evaluation.

4. Procedures for Visiting Academic Staff

Visiting academic staff will be evaluated annually. Criteria and procedures for evaluation outside of teaching will be established by the academic staff member's supervisor according to assigned workload.

The following five descriptive ratings will be used by department supervisors to rate academic staff job performance in teaching and/or other assigned duties:

- Excellent
- Good
- Satisfactory
- Needs Improvement
- Unacceptable

For consistency across campus, department heads will use the descriptive terms above for each of the reviewed categories; that is, teaching, scholarship, and service.

Visiting academic staff must have each course evaluated in each semester using the university-wide student evaluation instrument. Department heads will use this instrument in evaluating visiting academic staff teaching performance and arrange for collection of additional evidence of performance in teaching or other assigned duty areas.

The department head's evaluation will be forwarded to the academic staff member and the department head may choose to arrange a meeting to discuss performance results.

### Mid-term Review:

#### 1. Criteria

All tenure-track faculty and instructor-track faculty seeking promotion to senior instructor will be subject to a mid-term review. This review will take place during the third year of a full-time probationary appointment and at the conclusion of the fourth probationary year, considering the years of credit, for faculty receiving credit for prior service. Faculty will submit a mid-term portfolio summarizing their work to date at Arkansas Tech (see Appendix A for information on portfolio creation). Faculty at Arkansas Tech who receive credit toward tenure or promotion in their initial contracts will follow procedures for mid-term review, which will be established at the time of employment and stated in their letter of appointment. Portfolios should cover both experience at Tech and experience at other institutions in the timeframe for which the faculty member is receiving credit toward tenure and/or promotion.

This mid-term review will proceed through both departmental and college level evaluation. At the department level, the DPTC and department head will provide formative reviews that will be forwarded to the Dean for additional comment. The DPTC, department head, and dean will review the portfolio in that order. Each will provide a written statement commenting on the faculty member's progress toward tenure and/or promotion. Reviews will address any deficiencies in the faculty member's performance to date and propose corrective courses of action. The mid-term review will be used for reference in tenure and/or promotion consideration.

#### 2. Procedures

##### a. Portfolio

Tenure-track faculty will prepare a mid-term portfolio of teaching, scholarship and service and submit it to his or her DPTC. Instructor-track faculty seeking promotion to senior instructor will prepare a mid-term portfolio of teaching and any other duties contracted and submit it to his or her DPTC. The portfolio will include the faculty member's previous annual reviews, annual peer reviews, student evaluations, and other documentation as evidence of professional accomplishments under the period of review (see Appendix A on Portfolio creation).

b. DPTC

The DPTC will produce a one page, written formative peer review reflecting on the candidate's progress to date toward tenure or promotion. DPTC evaluations will address any deficiencies in the faculty member's progress and propose corrective courses of action. The faculty member will sign the mid-term review letter, acknowledging that the review has taken place. The DPTC will forward the signed letter to the department head and dean. Mid-term review letters will be included in tenure and promotion portfolios.

c. Department Head

The department head will provide a written comprehensive assessment of the faculty member's progress toward tenure or promotion and meet with the faculty member to discuss corrective actions to address any deficiencies. The faculty member will sign the mid-term review letter acknowledging that the review has taken place. The signed review letter will be forwarded to the dean. Mid-term review letters will be included in tenure and promotion portfolios.

d. Dean

The dean will provide a written comprehensive assessment of the faculty member's progress toward tenure or promotion. The mid-term review letter will be signed by the faculty member, acknowledging that the review has taken place. Mid-term review letters will be included in tenure and promotion portfolios.

Tenure

Recommendations for tenure are based on overall professional attainment and expectation of further professional growth at Arkansas Tech University. Only tenure-track faculty at the rank of assistant professor, associate professor and professor are eligible for tenure. Three broad areas will be considered for tenure: teaching, scholarship, and service.

Unless otherwise specified in the letter of appointment, final tenure decisions will be made during the sixth year of the tenure-track faculty member's probationary period.

Those faculty members who are eligible and who wish to be considered for tenure are responsible for presenting evidence of their qualifications in a portfolio. Tenure requires a positive decision by the Board of Trustees after review by the DPTC, department head, dean, UPTC, Vice President for Academic Affairs, and President.

If at any step in the tenure procedure the applicant does not receive a favorable recommendation, he/she may submit a written response to the individual responsible for making a recommendation at the next level. No new evidence, not included in the portfolio as submitted, will be considered. 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.

If tenure is granted, the recipient will continue his or her appointment on a yearly basis under the conditions and restrictions for tenured faculty as outlined in the Faculty Handbook. If tenure is

not granted during the final year of probation, the faculty member will receive a terminal appointment for the following academic year.

## 1. Criteria

The university has established the following general criteria for tenure eligibility. Tenure requires a positive decision by the Board of Trustees after review by the DPTC, department head, dean, UPTC, Vice President for Academic Affairs, and President.

### Tenure Eligibility Chart

Tenure-Track	Instructor-Track	Visiting
Eligible for Tenure	Not Eligible for Tenure	Not Eligible for Tenure

### Minimum Criteria for Tenure

Unless otherwise stated in the faculty member's contract, appointments for the first six years of employment shall be probationary and carry no implication of tenure. Whether and to what extent prior credit toward tenure 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 that may be credited toward tenure is three years.

The following criteria dealing with degree and judgment of performance should be considered *minimal*. Applicants should keep in mind that attainment of the minimal standard does not guarantee tenure.

- An earned terminal degree in the discipline or closely related field.
- Only tenure track faculty at the rank of assistant professor, associate professor and professor are eligible for tenure. Instructor-track and visiting faculty are not eligible for tenure. All other academic staff positions are not eligible for tenure.
- Classroom instruction must be judged by the department head as at least "satisfactory" in four of the last five annual evaluations.
- Scholarship and service must be judged by the department head as at least "satisfactory" in a majority of annual evaluations.

The department head and dean, in consultation with the DPTC and Vice President for Academic Affairs, will make determinations of what constitutes "closely related fields."

Even though the performance of a faculty member may be judged insufficient by an evaluator, the application must be allowed to proceed through the system if the faculty member so desires.

All terminal degrees must be received from an accredited institution.

## 2. Procedures

Portfolios for tenure will be reviewed by the DPTC, department head, dean, UPTC, Vice President for Academic Affairs, and the President before the Board of Trustees final approval decision. At each level, faculty committees and relevant administrative reviewers are expected

to communicate on matters related to criteria, standards, and all other matters relevant to the review of the faculty member's tenure application.

Evaluating committees and individuals should keep in mind that academic evaluations, conducted by learned peers within one's discipline, are an essential component of the tenure process.

Each academic year, the Office of the Vice President for Academic Affairs will establish a calendar, with appropriate deadlines, for the operation of the tenure process no later than September 1. Individual faculty members may apply for tenure at times and under circumstances consistent with the calendar and with the minimal criteria for tenure as stated above. It is the responsibility of the individual faculty member to assemble all of the materials necessary for consideration. In instances where the faculty member is eligible for promotion and tenure in the same year, she or he may submit a single portfolio for promotion and tenure. Decisions on promotion and tenure, however, are separately determined.

a. Portfolio

Tenure-track faculty will prepare a tenure portfolio of teaching, scholarship and service. The portfolio will include the faculty member's previous annual reviews, annual peer reviews, student evaluations, and other documentation as evidence of professional accomplishment under the period of review (see Appendix A on Portfolio creation). Faculty will submit their tenure portfolios to their DPTC according to calendar deadlines established by the Office of the Vice President for Academic Affairs

b. DPTC

DPTC members will individually vote to recommend or not recommend tenure. The DPTC will report the number of votes for and against each candidate's application for tenure along with a written explanation providing rationale or context for each recommendation not to grant tenure. This report will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure process, and the portfolio will be submitted to the department head according to the calendar deadlines established by the Office of the Vice President for Academic Affairs.

c. Department Head

The department head will make a formal written recommendation to grant tenure or not to grant tenure for each applicant along with a written explanation providing rationale or context for each recommendation not to grant tenure. These documents will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure process, and the portfolio will be submitted to the dean according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

d. Dean

The dean will make a formal written recommendation to grant tenure or not to grant tenure for each applicant along with a written explanation providing rationale or context for each recommendation not to grant tenure. These documents will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure process, and the portfolio will

be submitted to the UPTC according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

e. UPTC

UPTC members will individually vote to recommend or not recommend tenure. The UPTC will report the number of votes for and against each candidate's application for tenure along with a written explanation providing rationale or context for each recommendation not to grant tenure. This report will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure process, and the portfolio will be submitted to the Vice President for Academic Affairs according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

f. Vice President for Academic Affairs

The Vice President for Academic Affairs will make a formal written recommendation to grant tenure or not to grant tenure for each applicant along with a written explanation providing rationale or context for each recommendation not to grant tenure. These documents will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure process, and the portfolio will be submitted to the President according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

g. President

The President will provide a written recommendation to grant tenure or not to grant tenure for each applicant along with a written explanation providing rationale, or context for each recommendation not to grant tenure. Recommendations of the DPTC, department head, dean, UPTC, and Vice President for Academic Affairs shall be given deliberate and careful consideration on the question of tenure, but shall not be binding upon the President. The President's recommendations will be submitted to the board according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

h. Board of Trustees

The Board of Trustees will make its final decision on faculty tenure. Only the University Board of Trustees has the authority to grant tenure.

### 3. Extension of Tenure Probationary Appointment

A tenure-track faculty member may request an extension of a probationary appointment to accommodate exigencies or unexpected hardships. A written report outlining the basis for the request must be submitted to the dean and if recommended by the dean, to the Vice President for Academic Affairs for final approval. The request must be submitted prior to the end of the academic year preceding the final year of the faculty member's probationary period. The Vice President for Academic Affairs will indicate in writing, within 10 business days, whether the probationary period has been extended and specify the length in time of the extension.

### 4. Tenure Appeals

Appeals of tenure decisions may be made to the FWC only under the following two conditions and prior to the deadline established for the President to act upon the recommendations:

- The faculty member's appeal is a claim that the tenure policy process for his/her tenure application was not followed at a specified level of review.
- The faculty member's appeal is a claim that his/her portfolio for tenure was not evaluated in accordance with the established policies and guidelines.

Appeals are limited to issues arising in the process from the time of the application forward. The FWC must review all appeals and issue a finding within 10 business days of the appeal. Appeals can be made in a memo format to the FWC Chair and copied to the Vice President for Academic Affairs. The FWC's findings will be referred to the Vice President for Academic Affairs for determination on the status of the candidate's application. The Vice President for Academic Affairs will inform the candidate for tenure of the outcome of his/her appeal. In no instance should the FWC substitute its judgment for the judgments made by the parties in the process.

### Promotion

Recommendations for promotion are based on overall professional attainment and expectation of further professional growth at Arkansas Tech University. All tenured, tenure-track, and instructor-track faculty are eligible for promotion. For promotion, three broad areas, as appropriate to the candidate's appointment, are considered: teaching, scholarship, and service.

If at any step in the promotion procedure the applicant does not receive a favorable recommendation, he/she may submit a written response to the individual responsible for making a recommendation at the next level. No new evidence, not included in the portfolio as submitted, will be considered. 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.

#### 1. Criteria

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 are expected to meet the following criteria for the appropriate rank as well as the time-in-rank guidelines. All promotions require a positive decision by the Board of Trustees after review by a DPTC, department head, dean, UPTC, Vice President for Academic Affairs, and President.

### **Promotion Eligibility Chart**

<b>Tenured or Tenure-Track</b>	<b>Instructor-Track</b>	<b>Visiting</b>
Assistant Professor to Associate Professor	Instructor to Senior Instructor	<i>Not Eligible for Promotion</i>
Associate Professor to Full Professor	Senior Instructor to University Instructor	

a. Minimum Criteria for Promotion - Assistant Professor to Associate Professor, Associate Professor to Professor

The following criteria dealing with degree, length of time in rank, and judgment of performance should be considered as the *minimal* standard to apply; applicants should keep in mind that attainment of the minimal standard does not guarantee promotion.

To Associate Professor

- An earned terminal degree in the discipline or closely related field.
- At least six years of experience as an assistant professor.
- Classroom instruction must be judged by the department head as at least "satisfactory" in four of the last five years of annual evaluations.
- Scholarship and service must be judged by the department head as at least "satisfactory" in a majority of annual evaluations.

To Professor

- An earned terminal degree in the discipline or closely related field.
- At least six years of experience as an associate professor.
- Classroom instruction must be judged by the department head as at least "good" in four of the last six years of annual evaluations, with no ratings below "satisfactory."
- Scholarship and service must be judged by the department head as at least "good" in four of the last six years in which the faculty member was evaluated.

Years of experience in rank means experience at Arkansas Tech University 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. All prior years must come from an accredited institution of higher learning or equivalent professional experience to be considered for credit against probationary periods and years required for promotion.

The department head and dean, in consultation with the DPTC and Vice President for Academic Affairs, will make determinations of what constitutes "closely related fields."

Even though the performance of a faculty member may be judged insufficient by an evaluator, the application must be allowed to proceed through the system if the faculty member so desires.

All terminal degrees must be received from an accredited institution.

b. Minimum Criteria for Promotion - Instructor to Senior Instructor, Senior Instructor to University Instructor

The following criteria dealing with degree, length of time in rank, and judgment of performance should be considered *minimal*; applicants should keep in mind that attainment of the minimal standard does not guarantee promotion:

#### To Senior Instructor

- A master's degree in the discipline or closely related field.
- At least six years of experience as an instructor.
- Classroom instruction must be judged by the department head as at least "satisfactory" in four of the last five years of annual evaluations.
- Instructors receiving release time to engage in scholarship and service must be judged by the department head as at least "satisfactory" in majority of annual evaluations in these areas.

#### To University Instructor

- A master's degree in the discipline or closely related field.
- At least six years of experience as a senior instructor.
- Classroom instruction must be judged by the department head as at least "good" in four of the last six years of annual evaluations, with no ratings below "satisfactory."
- Instructors receiving release time to engage in scholarship and service must be judged by the department head as at least "good" in four of the last six years of annual evaluations in these areas.

Years of experience in rank means experience at Arkansas Tech University 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. All prior years must come from an accredited institution of higher learning or equivalent professional experience to be considered for credit against probationary periods and years required for promotion.

The department head and dean, in consultation with the DPTC and Vice President for Academic Affairs will make determinations of what constitutes "closely related fields."

Even though the performance of a faculty member may be judged insufficient by an evaluator, the application must be allowed to proceed through the system if the faculty member so desires.

Promotion in rank does not imply a change in the tenure eligibility of faculty contracted for instructor-track.

All degrees must be received from an accredited institution.

## 2. Procedures

Portfolios for promotion will be reviewed by the DPTC, department head, dean, UPTC, Vice President for Academic Affairs, and the President before the Board of Trustees final approval decision. At each level, the faculty committee and the administrative reviewer are expected to

communicate on matters related to criteria, standards, and all other matters relevant to the review of the faculty member's promotion application.

Evaluating committees and individuals should keep in mind that academic evaluations, conducted by learned peers within one's discipline, are an essential component of the promotion and tenure process.

Each academic year the Office of the Vice President for Academic Affairs will establish a calendar, with appropriate deadlines, for the operation of the promotion no later than September 1. Faculty members may apply for promotion at times and under circumstances consistent with the calendar and with the minimal criteria for promotion as stated above. It is the responsibility of the individual faculty member to assemble all of the materials necessary for consideration. In instances where the faculty member is eligible for promotion and tenure in the same year, she or he may submit a single portfolio for promotion and tenure. Decisions on promotion and tenure, however, are separately determined.

a. Portfolio

Tenured and tenure-track faculty will prepare a promotion portfolio of teaching, scholarship and service. Instructor-track faculty seeking promotion to senior or university instructor will prepare a portfolio of teaching as well as any other duties contracted. The portfolio will include the faculty member's previous annual reviews, annual peer reviews, student evaluations, and other documentation as evidence of professional accomplishments under the period of review (see Appendix A on Portfolio creation). Faculty will submit their promotion portfolios to their DPTC according to calendar deadlines established by the Office of the Vice President for Academic Affairs

b. DPTC

DPTC members will individually vote to recommend or not recommend promotion for tenured, tenure-track and instructor-track probationary faculty. The DPTC will report the number of votes for and against each candidate's application for promotion along with a written explanation providing rationale or context for each recommendation not to grant promotion. This report will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure and promotion process, and the portfolio will be submitted to the department head according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

c. Department Head

The department head will make a formal written recommendation to grant promotion or not to grant promotion for each applicant along with a written explanation providing rationale or context for each recommendation not to grant promotion. These documents will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure and promotion process, and the portfolio will be submitted to the dean according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

d. Dean

The dean will make a formal written recommendation to grant promotion or not to grant promotion for each applicant along with a written explanation providing rationale or context

for each recommendation not to grant promotion. These documents will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure and promotion process, and the portfolio will be submitted to the UPTC according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

e. UPTC

UPTC members will individually vote to recommend or not recommend promotion for tenured, tenure-track and instructor-track probationary faculty. The UPTC will report the number of votes for and against each candidate's application for promotion along with a written explanation providing rationale or context for each recommendation not to grant promotion. This report will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure and promotion process, and the portfolio will be submitted to the Vice President for Academic Affairs according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

f. Vice President for Academic Affairs

The Vice President for Academic Affairs will make a formal written recommendation to grant promotion or not to grant promotion for each applicant along with a written explanation providing rationale or context for each recommendation not to grant promotion. These documents will be included in the portfolio of the faculty member for reference by the other evaluators in the tenure and promotion process, and the portfolio will be submitted to the President according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

g. President

The President will make a formal written recommendation to grant promotion or not to grant promotion for each applicant along with a written explanation providing rationale or context for each recommendation not to grant promotion. Recommendations of the DPTC, department head, dean, UPTC, and Vice President for Academic Affairs shall be given deliberate and careful consideration on the question of promotion, but shall not be binding upon the President or the Arkansas Tech Board of Trustees. The President's recommendations will be submitted to the board according to calendar deadlines established by the Office of the Vice President for Academic Affairs.

h. Board of Trustees

The Board of Trustees will make the final decision on faculty promotion. Only the University Board of Trustees has the authority to grant tenure.

Even though an application may receive an unfavorable recommendation at one level of review, the application must be allowed to proceed to the next level, if that is the desire of the individual faculty member.

### 3. Promotion Appeals

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

- The faculty member's appeal is a claim that the promotion policy process for his/her promotion application was not followed at a specified level of review.
- The faculty member's appeal is a claim that his/her portfolio for promotion was not evaluated in accordance with the established policies and guidelines.

Appeals are limited to issues arising in the process from the time of the application forward. The FWC must review all appeals and issue a finding within 10 business days of the appeal. Appeals can be made in a memo format to the FWC Chair and copied to the Vice President for Academic Affairs. The FWC's findings will be referred to the Vice President for Academic Affairs for determination on the status of the candidate's application. The Vice President for Academic Affairs will inform the candidate for promotion of the outcome of his/her appeal. In no instance should the FWC substitute its judgment for the judgments made by the parties in the process.

#### 4. 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 Arkansas Tech University over an extended period of years.

Eligibility is limited to those who have retired, and who have at least 15 years of consecutive service to Arkansas Tech University. Recommendations for emeritus status must be in writing, and may be made by any current member of the Arkansas Tech University community who holds faculty rank. 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 UPTC, Vice President for Academic Affairs, President, and Board of Trustees in the spring semester of that academic year.

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

#### Tenure, and Promotion of Administrators with Academic Rank

The administrative functions, titles, and status of the president, vice presidents, deans, registrar, plant engineer, librarian, 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 (teaching, scholarship and service less than 50%) will not be eligible to apply for promotion or tenure while serving as administrators<sup>5</sup>.

## LIBRARIAN PROMOTION POLICIES AND PROCEDURES

### **Librarian Ranks, Promotion Policies, and Procedures**

There are three defined ranks for librarians at Arkansas Tech University. All librarian ranks are assumed to have at least a master's degree accredited by the American Library Association (the profession's recognized terminal degree) or expected completion within three years if an exception is granted and stipulated by the institution in the employee's contract. Characteristics of the individual ranks are as follows:

- Assistant Librarian – an entry level position at the institution, usually with little or no professional experience.
- Associate Librarian – an experienced academic librarian; evidence of competency in a specialty area of professional librarianship (e.g. reference, acquisitions, cataloging, instruction, etc.); a record of participation in departmental or institutional governance; active membership in professional library organizations and associations.
- Librarian – an academic librarian with substantial experience; evidence of mastery of a specialty area of professional librarianship; significant participation and leadership in departmental or institutional governance; a record of contributions to librarianship through participation in professional organizations and associations.

### **Criteria for the Appointment or Promotion of Professional Librarians**

There are four criteria used in evaluating librarians applying for initial appointment to a University position or for promotion to a higher rank. These are in the areas of education, experience, performance, and service. These criteria should be considered minimums for eligibility and meeting them will not guarantee promotion. General definitions for these criteria are as follows:

- Education – includes both necessary and relevant preparation such as degrees, certifications, training, workshops, etc.; documentation is required in order to be considered.
- Experience – includes all relevant work experience, both professional and non-professional; weighting of the various levels and types of experience will be the responsibility of the search or promotion committee; librarians must serve six years in a rank before being eligible for promotion (an exception may be granted by the Director of Library with approval of the Vice President for Academic Affairs).
- Performance – includes qualitative evaluations of the performance of primary duties by the librarian's supervisor(s); performance is the most important criteria for promotion decisions.
- Service – may include contributions or service to the library, the institution, the community, or the profession.

---

<sup>5</sup> Department Heads are considered faculty members not administrators and are eligible to apply for promotion and tenure.

## **Guidelines for Applying the Criteria to the Ranks of Professional Librarians**

### Assistant Librarian

- Employment is by appointment following a national search.
  - Each criterion is defined, weighted, and applied according to the needs of a particular search and at the discretion of the search committee.

### Associate Librarian

- Maintains the level of relevant skills and knowledge necessary to the position's functional responsibilities; demonstrates professional growth and shares knowledge gained;
- Six years of relevant academic library experience;
- Performs all duties with competence and a measure of independence;
- Is aware of and active in current issues and trends in librarianship; contributes to the profession or to the academic community (e.g. presentations or programs, participation or leadership in organizational or institutional governance).

### Librarian

- Maintains a high level of relevant skills and knowledge necessary to the position's functional responsibilities; demonstrates continuous professional growth over a significant period as a professional and shares knowledge gained;
- Twelve years of relevant experience in an academic library;
- Performs all duties with a high level of competence and independence;
- Demonstrates awareness of and activities in current issues and trends in librarianship throughout a professional career; contributes significantly to the profession or to the academic community (e.g. presentations or programs, participation or leadership in organizational or institutional governance).

## **Procedures for Promotion**

The steps are as follows:

1. Each academic year the Office of the Vice President for Academic Affairs will establish a calendar, with appropriate deadlines, for the operation of the promotion process. To the extent that it is feasible, the Promotion Process for Librarians will parallel this calendar.
2. Librarians 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 librarian to assemble all of the materials necessary for consideration under these criteria.
3. The application for promotion is delivered to the Director of Library. From that point forward the Director of Library, Librarian 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 Director of Library, Librarian Promotion Committee, Vice President for Academic Affairs, and President will review all applications for promotion and 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, the application must be allowed to proceed to the next level, if that is the desire of the individual librarian.
6. The President of the University will forward his/her recommendation for promotion to the Board of Trustees of the University.

## **Librarian Promotion Committee**

### Membership

- The Librarian Promotion Committee (LPC) shall include all librarians, excluding the Director, who are not being considered for promotion; the membership of the LPC shall be at least three.
- In the event that there are fewer than three librarians who are not being considered for promotion, the balance of the LPC shall be filled first by the librarian at the ATU-Ozark campus and then (if necessary) by appointment from the University's Library, Instructional Materials & Equipment Committee by the Vice President for Academic Affairs in consultation with the Director of Library.
- The chair of the LPC shall be the highest ranking librarian member, with institutional seniority being the determining factor between librarians of equal rank.
- The LPC shall recommend (to the Vice President for Academic Affairs) approval or disapproval of all applications submitted.
- The LPC may meet with the Vice President for Academic Affairs (at his/her request) to discuss the Committee's recommendations and justifications.
- The LPC shall submit a written statement to each applicant indicating the disposition of the application.
- If at any step in the promotion procedure the applicant does not receive a favorable recommendation, he/she may submit an appeal statement to the individual responsible for making a recommendation at the next level. The applicant shall submit the statement within ten working days of notification of an unfavorable recommendation. The applicant may withdraw his/her application at any time.

### **Granting of Promotion**

The final decision on librarian promotion shall rest with the Board of Trustees.

PORTFOLIO PREPARATION

**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.**

The following suggestions are for preparation of a portfolio for annual evaluation, mid-term review, and applications relating to tenure and/or promotion. These suggestions were compiled from meetings with past members of the University Promotion and Tenure Committee and college 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. Faculty should also reference departmental guidelines when preparing portfolios.

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. Peer reviews
    - d. Student learning assessments
    - e. Awards and recognition
    - f. Examples of course materials
    - g. Other relevant material
  2. Scholarship
    - a. Introductory summary
    - b. Publications
    - c. Presentations
    - d. Creative activities
    - e. Other examples of scholarship

3. Service
  - a. Introductory summary
  - b. Service to the institution
  - c. Service to profession
  - d. Service to the community
  - e. Other relevant service activities
4. Appendices (as needed; clearly labeled as Teaching, Scholarship, Service; may be included in main binder or additional binders)

C. Suggested Additional Organization for Mid-term Review Portfolio

1. Summary argument for progress toward tenure
2. Mid-term evaluation letter of department head and DPTC peer review
3. Current resume
4. Copy of annual reviews and by department head and peer reviews of DPTC
5. Portfolio and its table of contents

Note: Please include items 1 - 5 in the front of the main portfolio binder.

D. Suggested Additional Organization for 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 and mid-term review by department head
7. Portfolio and its table of contents

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

Portfolios may be submitted in hard copy or .pdf digital format. Any changes in digital format standards for portfolio submission will be established by the Office of the Vice President for Academic Affairs.

## Appendix B

### Procedures and Guidelines for Annual Peer Review

#### The Concept of Annual Peer Review

1. Purpose. The primary purpose of peer review is to assist faculty members in improving their teaching, scholarship, and service 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 judgments. Senior faculty who are knowledgeable in the instructor's field and experienced in the classroom are generally qualified judges of teaching, scholarship, and service effectiveness. [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, scholarship, and service effectiveness, peer review does not include supervisory or managerial responsibilities over individuals being reviewed.
  - (c) Duties. The DPTC will review the portfolios of each faculty member and will provide to the departmental head written comments regarding the teaching, scholarship, and service effectiveness of each faculty member and suggestions for improvement. The committee will meet with each faculty member.
  - (d) Comments. The DPTC 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, scholarship, and service 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, scholarship, and service effectiveness, and
    3. any suggestions to improve the faculty member's teaching, scholarship, and service effectiveness.
  - (e) Classroom visitation. Peer review classroom visitations must be scheduled at least three working days in advance of a visit.

SAMPLE  
PEER REVIEW of Dr. James B. Goodfile

Date

The Peer Review Committee for the Department of Behavioral Sciences has reviewed the portfolio of Dr. James B. Goodfile for the calendar year \_\_\_\_\_. 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, 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

## Appendix D

### SAMPLE ANNUAL EVALUATION GUIDELINES

(The following is meant only as an example. DPTCs in consultation with department heads and deans, will set rating guidelines for each department.)

#### Departmental Guidelines for Faculty Annual Evaluations

Department of \_\_\_\_\_

Calendar Year \_\_\_\_\_

Evaluation Period \_\_\_\_\_

The following are general guidelines to help clarify departmental expectations for annual faculty evaluations for the \_\_\_\_\_ evaluation period. They do not constitute a complete list of criteria considered by department heads in annual evaluations.

#### Teaching

Rating: (Unacceptable) . . . .

Rating: (Needs Improvement) . . . .

Rating: (Satisfactory) . . . .

Rating: (*Good*) . . . .

Rating: (*Excellent*) Above average student evaluations; evidence of success in improving course content and delivery; leadership in teaching innovation and initiative; evidence of success in improving course content and delivery; leadership in teaching innovation and initiative

#### Scholarship

Rating: (Unacceptable) . . . .

Rating: (Needs Improvement) . . . .

Rating: (Satisfactory) . . . .

Rating: (*Good*) . . . .

Rating: (*Excellent*) Long form or multiple short form published and/or distributed peer reviewed work (ex. book)

#### Service

Rating: (Unacceptable) . . . .

Rating: (Needs Improvement) . . . .

Rating: (Satisfactory) . . . .

Rating: (*Good*) . . . .

Rating: (*Excellent*) Leadership roles and/or committee work in all categories: university, college, department, professional

Appendix E

SAMPLE

DEPARTMENT HEAD ANNUAL EVALUTION OF FACULTY

Department \_\_\_\_\_

Calendar Year \_\_\_\_\_

Evaluation Period \_\_\_\_\_

Dr. X, Assistant Professor of Y

Teaching (Weight: 80%) *Summary Statement:* Dr. X's student evaluations . . . .

Rating: (*Excellent*)

Scholarship (Weight: 10%) *Summary Statement:* Dr. X published . . . .

Rating: (*Good*)

Service (Weight: 10%) *Summary Statement:* Dr. X served . . . .

Rating: (*Satisfactory*)

COMMENTS AND SUMMARY

Dr. X is a valuable member of the department. . . .

This evaluation and a copy were provided to Dr. X and reviewed by him.

Dr. X  
Department Head

Signature \_\_\_\_\_ Date \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

Appendix F

SAMPLE  
Department Head and Dean Mid-term Review Letter

Date

The \_\_\_\_\_ Department has completed its mid-term tenure and promotion review for Dr. X. Dr. X's portfolio suggests that he is making progress toward achieving both tenure and promotion. Dr. X's teaching evaluations are generally good and occasionally excellent. His student evaluation averages are typically near both departmental and college averages. He is a dedicated teacher and carries an overload every semester. Several students have complained about starting class late and missing office hours. Dr. X will need to show improvement in meeting at scheduled class times and office hours. Dr. X has also provided significant service to the department and the community. His work with departmental assessment is especially noteworthy. Dr. X has not yet served on a university committee or provided any service to his profession. Dr. X needs to pursue a university committee assignment and become active in a professional organization. Dr. X has yet to reach his potential in terms of scholarship. Publication opportunities in the next few years should greatly improve his resume. Dr. X is a valuable and well respected member of the department.

Sincerely,

Evaluator Name

## Appendix G

### SAMPLE ANNUAL EVALUATION OF DEPARTMENT HEADS

(The following is meant only as an example. DPTCs in consultation with department heads and deans will set rating guidelines for each department for teaching, scholarship, and service. Immediate supervisors will set rating guidelines for administration.)

#### Guidelines for Annual Evaluation of Administrators with Academic Rank

College of \_\_\_\_\_

Calendar Year \_\_\_\_\_

Evaluation Period \_\_\_\_\_

The following are general guidelines to help clarify expectations for annual evaluations of administrators with academic rank for the \_\_\_\_\_ evaluation period. They do not constitute a complete list of criteria used in annual evaluations.

#### Teaching

Rating: (Unacceptable) . . . .

Rating: (Needs Improvement) . . . .

Rating: (Satisfactory) . . . .

Rating: (*Good*) . . . .

Rating: (*Excellent*) Above average student evaluations; evidence of success in improving course content and delivery; leadership in teaching innovation and initiative

#### Scholarship

Rating: (Unacceptable) . . . .

Rating: (Needs Improvement) . . . .

Rating: (Satisfactory) . . . .

Rating: (*Good*) . . . .

Rating: (*Excellent*) Long form or multiple short form published and/or distributed peer reviewed work (ex. book)

#### Service

Rating: (Unacceptable) . . . .

Rating: (Needs Improvement) . . . .

Rating: (Satisfactory) . . . .

Rating: (*Good*) . . . .

Rating: (*Excellent*) Leadership roles and/or committee work in all categories: university, college, department, professional

#### Administrative Duties

##### Leadership

Rating: (Unacceptable) . . . .

Rating: (Needs Improvement) . . . .

Rating: (Satisfactory) . . . .

Rating: (*Good*)

Rating: 5 (*Excellent*) Unusual display of leadership

Administration

Rating: (Unacceptable)

Rating: (Needs Improvement) . . . .

Rating: (Satisfactory) . . . .

Rating: (*Good*) Administration Survey questions 6-11 average of at least 4.0

Rating: (*Excellent*) Significant improvements in department policies or procedures

Faculty and Program Development

Rating: (Unacceptable) . . . .

Rating: (Needs Improvement) . . . .

Rating: (Satisfactory) . . . .

Rating: (*Good*) . . . .

Rating: (*Excellent*) Administration Survey questions 12-14 average above university average and among highest in the college; significant improvements made in multiple areas (ex. Budget, Personnel, Assessment, Curriculum, Physical Facilities, Online Facilities, Student Relations, Community Outreach)

Communication

Rating: (Unacceptable) . . . .

Rating: (Needs Improvement) . . . .

Rating: (Satisfactory) . . . .

Rating: (*Good*) Administration Survey questions 15-18 average of at least 4.0

Rating: 5 (*Excellent*) No complaints from faculty involving communication; effectively communicated standards for annual evaluation and tenure and promotion