

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

EVALUATION

Criteria for Evaluation

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

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

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

DEFINITIONS:

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

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

A. Teaching will be evaluated on the basis of:

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

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

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

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

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

- Service to the institution
 - quality of student advising
 - 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 overloads for reduced compensations
 - other (to be discussed and decided by faculty member and Department Head)

*Amended Board of Trustees 5/21/09

- Service to the profession
 - membership in professional organizations
 - attendance at professional meetings
 - holding office in professional organizations
 - serving on committees of professional organizations
 - providing 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
 - other (to be discussed and decided by faculty member and Department Head)

- Service to the community
 - participating in a community project
 - holding public office
 - assisting public organizations
 - public activity in organizations outside faculty member's area of expertise
 - service to public schools
 - providing consulting services (This may not be the sole component of the community service area.)
 - other (to be discussed and decided by faculty member and Department Head)

Individuals and committees evaluating portfolios for promotion or tenure should be aware of the diversity of disciplines.

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

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

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

Annual SUMMATIVE EVALUATIONS will be performed by:

1. The Department Head
2. The faculty member

Evaluation Procedures

1. A written self evaluation of each of the three areas will be prepared annually by each faculty member.
2. A departmental peer review committee will meet annually with each non-tenured faculty member to provide a formative evaluation of the teaching area. A summary of this session will be provided to the faculty member and the Department Head. **This is a formative**

evaluation. (Note: Tenured faculty may request a meeting with the peer review committee, and the peer review committee may request a meeting with a tenured faculty member.)

3. The Department Head will annually review and rate the overall quality of teaching, scholarship, and university service through the use of student evaluations, peer reviews, and an evaluation of materials contained in portfolios. The Department Head will prepare a one-page, comprehensive summary of the three areas of evaluation for the faculty member. Copies of the Department Head's summary will be forwarded to the faculty member, Dean and Vice President of Academic Affairs. A faculty member has the option of attaching an addendum to the Department Head's comprehensive summary. **This is a summative evaluation.**
4. Following a review of the Department Head's evaluation, the faculty member should consult with the Department Head and formulate a plan for professional improvement for the coming year.
5. Department Head evaluations, student evaluation summaries, portfolio materials, and self-improvement plans become part of the faculty maintained documentation submitted for evaluation at each level of the promotion and tenure process.

Additional Evaluation Procedures

A. Teaching

1. Student Evaluation

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

B. Scholarly/Creative Activities and Service

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

C. Non-tenured faculty members

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

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

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

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

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

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

D. Tenured Faculty Members

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

PROMOTION

Criteria for Promotion

Each faculty rank has its own distinctive requirements, but the University has established the following general criteria. All faculty members wishing to be considered for promotion in rank are expected to meet the following criteria for the appropriate rank as well as the time-in-rank guidelines. Deficiencies in either scholarly/creative activities or service may be counterbalanced by exceptional excellence in the other area. The criteria for teaching effectiveness may not be deficient in the ranks described below. All promotions require a positive recommendation by the Board of Trustees after review by a Department Head, Dean/Director, University Promotion and Tenure Committee (UPTC), Vice President for Academic Affairs, and President.

Minimum Criteria for Promotion

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

Assistant Professor

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

OR

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

OR

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

Associate Professor

1. An earned terminal degree in the discipline.
2. At least six years of experience as an assistant professor.

3. Classroom instruction must be judged by the department head as at least "satisfactory" in four of the last five years in which the faculty was formally evaluated.
4. Scholarly/creative activities and university service must be judged by the Department Head as "satisfactory" in a majority of annual evaluations.

Professor

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

Procedures for Promotion

The steps are as follows:

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

University Promotion and Tenure Committee

- *A. The University Promotion and Tenure Committee (UPTC) shall consist of six members. At least one member of the UPTC must come from each of five colleges (i.e., Applied Sciences, Arts and Humanities, Business, Education, and Natural and Health Sciences). The sixth member will be selected on an at-large basis from the eligible faculty from the five colleges and the library.
- B. Members of the UPTC must be tenured full-time faculty that hold the rank of Associate Professor or Professor. Members will be serving on departmental peer review committees at the time of their appointment, but other qualified faculty may be appointed, with the approval of the President. Faculty serving as Department Heads or Deans are not eligible for appointment. Persons applying for promotion may not serve on the UPTC.
- C. Three members of the UPTC shall be appointed by the chair of the Faculty Senate with its advice and consent, and three members shall be appointed by the Vice President for Academic Affairs. Appointments shall be for three years. On initial appointment, the term of each member shall be designated as one, two, or three years. The Chair of the Faculty Senate and the Vice President shall each appoint one new member each year thereafter for a three year term. The Faculty Senate Chair shall have first choice in the appointment process.

*Updated 8/1/12

- D. The UPTC shall recommend approval or disapproval of all applications submitted except those of full-time University administrators and those whose appointments carry a contractual obligation for tenured faculty status (Any and all such recommendations will include the appropriate interaction with the department for which tenure will be bestowed). The Committee shall meet with the Vice President to discuss its recommendations with justifications.
- E. The Committee will submit a written statement to each applicant indicating the disposition of the application.
- F. If at any step in the promotion procedure the applicant does not receive a favorable recommendation, he/she may submit an appeal statement rebutting reported deficiencies to the individual responsible for making a recommendation at the next level. The faculty shall submit the statement within ten working days of notification of an unfavorable recommendation. The faculty member may withdraw his/her application at any time.

Appeals

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

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

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

Granting Promotion

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

Emeritus Status

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

1. Eligibility is limited to those who have retired, and who have at least 15 years of consecutive service to the University.
2. Recommendations for emeritus status must be in writing, and may be made by any current member of the University community who holds faculty rank.

3. Recommendations and all supporting documents will be reviewed by the University Promotion and Tenure Committee, the Vice President for Academic Affairs, and the President in that order.

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

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

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

Tenure Review

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

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

This process will be conducted in accordance with the policies outlined in Item B in the "Regulations on Academic Freedom and Tenure" on page 13. Thus, it will be necessary for faculty members in their last year of probation to apply for tenure.

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

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

Effective Date

This policy was approved by the Arkansas Tech University Board of Trustees on June 15, 1995. Subsequent revisions were made on November 30, 1995, June 20, 1996, June 18, 1998, June 17, 1999, March 14, 2003 and May 21, 2009. This policy shall supersede any existing policies that may be in conflict with its provisions.

ACKNOWLEDGMENT

I understand that the *Faculty Handbook* (update 2012) located at <http://www.atu.edu/academics/facultyhandbook.php> constitutes the general policies and procedures of Arkansas Tech University, and I will familiarize myself with the information therein. All policies, procedures, and guidelines are subject to review, revision, and modification during any academic year.

(Signature)

(Print Name)

(Date)

PLEASE SIGN AND RETURN THIS FORM TO THE ACADEMIC AFFAIRS OFFICE,
ROOM 200, ADMINISTRATION BUILDING. THIS SIGNED FORM WILL BE
RETAINED AS PART OF YOUR PERMANENT RECORD.