

Policies Governing Faculty Service

In this chapter are policies from the University of Arkansas system and UALR that relate to faculty service. The policies cover such issues as appointments, promotion, tenure, evaluation, and retrenchment.

Ranks and Appointments

The academic faculty includes these regularly designated ranks: professor, associate professor, assistant professor, instructor, and lecturer. In rare instances, the title of distinguished professor or university professor is conferred on a faculty member. These titles are for recognition of outstanding scholarly or creative achievement in a particular field. Adjunct and visiting ranks are also designated.

Competence in one's academic discipline is the first requirement for appointment to any position on the University faculty. For advancement through the professional ranks, the doctorate or its equivalent is presumed to be a requirement except in certain fields in which the doctorate is not generally recognized as of primary significance.

Appointments to the faculty are normally initiated by the department chairperson and college or school dean and are approved by the vice chancellor and provost, chancellor, and president. An appointment must be approved by the president before a definite commitment is made to the individual under consideration. The University of Arkansas at Little Rock is an Equal Employment Opportunity Affirmative Action employer.

The initial offer of appointment is made by a letter from the department chairperson to the individual being employed. The letter specifies the provisions of the appointment, and when signed and returned by the individual, initiates the appointment on behalf of the Board of Trustees. The new employee must also complete certain payroll documents prior to being placed on the payroll. Subsequent periods of employment are initiated by the department chairperson on a Personnel Action Form (see Board Policy 405.4, 3/27/89).

Appointment Periods

Full-time faculty are usually appointed for a nine-month period. However, faculty and administrative personnel may be appointed for a ten and one-half month or a twelve-month period, depending upon the needs of the unit concerned or the

nature of the research or administrative work being done.

The appointment period for nine-month employees is the academic year which typically begins about August 15th and ends about May 15th. The appointment period for twelve-month employees is from July 1 to June 30, inclusive, which corresponds to the University's fiscal year.

Nine-month employees are paid for the days worked in August, one-eighteenth of the nine-month salary bimonthly from September through April, and the remainder at the end of May. Twelve-month employees are paid one-twenty-fourth of their annual salary bimonthly.

Social security payments, group insurance premiums, federal and state income tax withholdings, and payment to TIAA (Teachers Insurance and Annuity Association) and CREF (College Retirement Equities Fund) are deducted from the salary, but each employee is informed of the amounts withheld and for what purposes they are withheld.

Faculty may earn additional pay for additional work as outlined in University-wide Administrative Memorandum 440.2 "Extra Compensation Policy."

Although summer appointments are not guaranteed, faculty members on nine-month appointments may be appointed to teach during the summer. The salary rate for a full-time teaching load (six hours or its equivalent) during one summer term is fifteen percent of the individual's previous nine-month salary. Appointments for periods less than one term will be on a prorated basis. Nine-month teaching personnel are not permitted to teach both summer sessions except under unusual circumstances requiring special authorization.

Other types of summer assignments carry a monthly scale of one-tenth of the individual's previous normal nine-month salary, except that a nine-month employee assigned to a full-time research position for the summer may receive one-third of the previous normal nine-month salary for the summer appointment. When a person on a nine-month employment period is employed for two months' work during the summer, he/she will receive 20 percent of his/her nine-month salary for the summer work.

If a nine-month employee is assigned to a twelve-month position with the same title and duties, the twelve-month salary will be 1.25 times the nine-

month salary. In the event an employee on a twelve-month appointment is assigned to a nine-month position with the same title and duties, the nine-month salary will be 80 percent of the twelve-month salary.

Personnel Action Forms are prepared for the initial appointment of personnel and must be processed and approved by the appropriate administrator before the beginning of the appointment period. Subsequent appointments for a following fiscal year are normally prepared in spring. On occasion when the Arkansas General Assembly is in session, notices may be later because of the uncertainty of appropriated funds.

Appointments, Promotion, Tenure, Non-Reappointment, and Dismissal of Faculty

(Board Policy 405.1, April 1962, revised 1980, 1982, 1987, 1989, and 1994)

This policy, adopted by the Board of Trustees on February 8, 1980, to become effective on July 1, 1980, supersedes all existing policies concerning appointments, promotion, tenure, non-reappointment, and dismissal of faculty (specifically, Administrative Memorandum No. 43, dated August 31, 1962; University-wide Administrative Memorandum 421.1, dated December 6, 1976; University-wide Administrative Memorandum 450.1, dated November 17, 1975; and Board Policy 405.1, dated September 1, 1962, and revised). Nevertheless, an employee of the University of Arkansas who held the rank of instructor prior to the effective date of this policy is eligible for tenure in accordance with Section II.A.(1-4) of Board Policy 405.1 dated September 1, 1962, and revised. The Board of Trustees has the right to amend any portion of this policy at any time in the future.

Copies of this statement of policies shall be kept by the dean of each college or school and by each department head or chairperson or other appropriate official and shall be included without change or interlineation in the Faculty Handbook for each campus. Care shall be taken to insure that each faculty member is familiar with its contents, and the department chairperson or other appropriate official shall supply a copy to each new member.

I. Definition of Terms

For purposes of this policy, the following definitions shall apply:

Appointment: An appointment is employment by written contract ("Notice of Appointment") by the Board of Trustees of an individual in a given capacity for a specified time period at a stated salary. An appointment is valid only when the appointment form is approved and signed by the president of the University or the president's designee in accordance with authority delegated by the Board of Trustees, and the Notice of Appointment is signed by the individual being appointed and returned to the specified University official.

Dismissal: Dismissal is severance from employment for cause after administrative due process as specified in Section IV-C. Non-reappointment is not a dismissal (see further).

Faculty: Faculty are employees who hold academic rank of lecturer, assistant instructor, instructor, assistant professor, associate professor, professor, distinguished professor, university professor, or one of the above titles modified by clinical, research, adjunct, visiting, or emeritus, e.g., clinical professor, adjunct assistant professor.

Individuals holding the following non-teaching titles will also receive faculty rank, the highest rank for each title being as indicated. Both the title and the academic rank will be stated in the appointment.

Instructional and Research Ranks	University Professor, Distinguished Professor, Professor	Associate Professor	Assistant Professor	Instructor
Library	Director of Libraries, Librarian	Associate Librarian	Assistant Librarian	
Cooperative Extension Service*	Extension Specialist IV	Extension Specialist III	Extension Specialist II	Extension Specialist I
Instructional Development	Instruct. Develop. Specialist II	Instruct. Develop. Specialist I		
Museum	Curator	Associate Curator	Assistant Curator	

*Academic rank will be granted only if the individual is appointed in an academic unit.

Non-reappointment: Non-reappointment means that a non-tenured faculty member is not offered a next successive contract for employment at the end of a stated appointment period. It is effected by a written notice sent in compliance with the time limits hereafter specified (IV.B.).

Probationary Period: The probationary period is the time a faculty member spends under appointments for full-time services in a tenure track position on one campus of the University of Arkansas prior to being awarded tenure.

Promotion: Promotion is advancement based on merit to a higher rank or title. All promotions must be approved by the Board of Trustees and become effective with the next year's appointment following action of the Board of Trustees, unless a different effective date is approved by the Board for a specific case.

Resignation: Resignation is voluntary termination of employment by an employee. The dean or director of the unit to which the employee is assigned is authorized by the Board of Trustees to accept the resignation.

Suspension: Suspension is temporarily relieving an employee of duties.

Tenure: Tenure is the right of continuous appointment. It is awarded by the president to eligible members of the faculty upon successful completion by each of a probationary period and, once granted, it ceases to exist only by dismissal for cause according to the procedures in Section IV.C., demonstrably bona fide financial exigency, reduction or elimination of programs, retirement, or resignation. "Cause" is defined as conduct which demonstrates that the faculty member lacks the ability or willingness to perform his or her duties or to fulfill his or her responsibilities to the University; examples of such conduct include (but are not limited to) incompetence, neglect of duty, intellectual dishonesty, and moral turpitude. The probation period may be waived as provided in Section IV.A.4. NOTE: Tenured faculty holding positions eliminated by reduction or elimination of programs will be relocated in other academic units of the campus whenever possible. A position occupied by a tenured faculty member which was eliminated as a result of reduction or elimination of a program may not be reactivated for a period of five academic years.

Tenure-Track Positions: Tenure-track positions are ranks of assistant professor, associate professor, professor, distinguished professor, and University professor; provided, however, faculty appointed to clinical attending positions at the University of

Arkansas for Medical Sciences and bearing the designation of assistant professor, associate professor or professor shall in no event be considered in tenure-track positions and shall acquire no tenure rights by virtue of occupying such positions.

Terminal Appointment: A terminal appointment is a final appointment, the expiration of which results in termination of an individual's employment.

Termination: Termination is the general term to describe severance of employment from the University. Termination may be by resignation, retirement, dismissal, non-reappointment, or expiration of appointment.

Year: Year will be either a fiscal year (July 1 through June 30 next) or an academic year (fall and spring semesters of the same fiscal year), unless otherwise designated.

II. Appointments

The following principles shall apply to appointments to faculty positions:

A. General

Appointments shall be for a specified period of time not to exceed one fiscal year. Except for appointments to faculty positions for summer school, appointments shall not extend beyond the end of a fiscal year.

Recommendations for appointments to the faculty will be made by the departmental chairperson after consultation with the departmental faculty concerned, and subject to the approval of the dean, chief academic officer, and chief executive officer of the campus, who alone shall make the final recommendation for appointment. (See definition of appointment, page 6-2.)

B. Initial Appointment

Criteria and procedures for the initial appointment of all faculty members on a campus shall be adopted by the faculty of that campus through its governance structure; the deans and chief academic officer of the campus shall have an opportunity to give their advice regarding these criteria and procedures; these criteria and procedures must be submitted to the chancellor of the campus and the President for approval. More detailed criteria and procedures may be adopted by the faculty and chairperson¹ of each academic unit; these criteria

1. For the purpose of this policy, and in reference to items involving professional librarians, extension specialists, instructional development specialists, or museum curators, the terms "chairperson," administrative officer," and "administrator" refer to the director or head librarian.

and procedures must be submitted to the dean, the chief academic officer of the campus, the chancellor of the campus, and the President for approval.

An appropriate degree or professional experience is an essential qualification for appointment to positions at academic ranks.

Other important qualifications include experience in teaching, research, or other creative activity, and educational service either at other colleges and universities and/or in non-academic settings.

C. Successive Appointments

Tenured faculty members have a right to a next successive appointment except for the reasons for termination of a tenured appointment given in Section I under definition of tenure. Non-tenured faculty do not have a right to a next successive appointment, but may be offered an appointment after the expiration of a current appointment, provided it does not extend the time in probationary status beyond the limits set in Section IV.A.4 and IV.A.11. In the event that a non-tenured faculty member is not recommended for reappointment, the procedure described in Section IV.B. shall be followed.

Criteria and procedures for successive appointments of all faculty members on a campus shall be adopted by the faculty of that campus through its governance structure; the deans and chief academic officer of the campus shall have an opportunity to give their advice regarding these criteria and procedures; these criteria and procedures must be submitted to the chancellor of the campus and the President for approval. More detailed criteria and procedures may be adopted by the faculty and chairperson of each academic unit; these criteria and procedures must be submitted to the dean, the chief academic officer of the campus, the chancellor of the campus, and the President for approval.

III. Promotion

Promotion in academic rank shall be based primarily on the accomplishments of the individual while in the most recent rank. No minimum time in rank is required before a faculty member is eligible for promotion, nor is there a maximum time an individual may remain in a given rank except as limited by Sections IV.A.4. and IV.A.11. However, individual accomplishments and potential for continued value to the University are required for promotion.

Recommendations for promotion shall originate with the chairperson, who shall inform the faculty members who are being considered for

promotion and shall give them the opportunity to submit material which they believe will facilitate consideration of their competence and performance. Each campus shall provide for the inclusion of peer evaluation in the consideration of faculty nominated for promotion.

Criteria and procedures for promotion to each rank on a campus, including an appeals procedure for those desiring reconsideration of a negative recommendation, shall be adopted by the faculty of that campus through its governance structure; the deans and chief academic officer of the campus shall have an opportunity to give their advice regarding these criteria and procedures; these criteria and procedures must be submitted to the chancellor of the campus and the President for approval. More detailed criteria and procedures may be adopted by the faculty and chairperson of each academic unit; these criteria and procedures must be submitted to the dean, the chief academic officer of the campus, the chancellor of the campus, and the President for approval.

IV. Tenure, Non-Reappointment, and Dismissal

A. Tenure

1. The granting of tenure implies that the individual has completed successfully his or her probationary period and has become a permanent member of the University community. As such, he or she acquires additional procedural rights in the event that dismissal proceedings may be brought against him or her.

2. Only full-time faculty with ranks of assistant professor, associate professor, professor, distinguished professor, and University professor are eligible to be awarded tenure. Faculty and other employees with the following titles are ineligible to be awarded tenure: clinical, research, adjunct, or visiting faculty, research associates or research assistants, graduate associates or graduate assistants, instructors, assistant instructors, and lecturers. Faculty appointed to clinical attending positions at the University of Arkansas for Medical Sciences, although designated assistant professor, associate professor or professor, are ineligible to be awarded tenure. Academic administrators not appointed to a teaching or research unit may be awarded academic rank in addition to their administrative titles, with the concurrence of the faculty and administrative officer of the academic unit in which such rank could lead to tenure, in which case they may acquire tenure as faculty, but not as administrators.

Other administrators and staff whose primary duties do not involve teaching regularly scheduled credit-hour courses but who occasionally teach courses are not eligible for tenure and do not acquire credit for service toward tenure for such teaching activities.

3. Tenure rights apply to the area or areas of the faculty member's expertise and in the academic unit(s) in which his or her position is budgeted (examples: Department of English, UAF, not College of Arts and Sciences; School of Law, UALR; Library, UAM; Departments of Music and Education, UAPB). Tenure rights are confined to a particular campus and are not applicable on another campus of the University of Arkansas.

4. The probationary period may not extend beyond seven years. (An initial appointment of less than one year will be considered as a full year of service in determining maximum number of years in probationary status except that appointments for summer sessions will not be considered in determining the number of years in probationary status.) Time spent on an off-campus duty assignment or leave-of-absence without pay does not apply toward the probationary period.

Upon the recommendation of the department chairperson, after consultation with the departmental faculty and with concurrence of the dean, chief academic officer, and chief executive officer of the campus, new appointees at the rank of associate professor, professor, distinguished professor, or University professor, may be granted immediate tenure.

5. Recommendations for tenure shall originate with the chairpersons, who shall inform the faculty members in tenure-track positions who are being considered for tenure and shall give them the opportunity to submit material which they believe will facilitate consideration of their accomplishments and potential.

6. Criteria and procedures concerning the awarding of tenure on a campus, including an appeals procedure for those desiring reconsideration of a negative recommendation, shall be adopted by the faculty of that campus through its governance structure; the deans and chief academic officer of the campus shall have an opportunity to give their advice regarding these criteria and procedures; these criteria and procedures must be submitted to the chancellor of the campus and the President for approval. More detailed criteria and procedures may be adopted by the faculty and chairperson of each academic unit; these criteria and procedures must be submitted to the dean, the

chief academic officer of the campus, the chancellor of the campus, and the President for approval.

7. The president will not consider awarding tenure to a faculty member in a probationary status without the prior recommendation of the faculty member's departmental faculty, chairperson, dean, chief academic officer, and the chief executive officer of the campus concerned.

8. A faculty or staff member, on acquiring tenure rights, shall receive a notice from the chief executive officer of the campus affirming the acquisition of such rights. No person shall lose tenure rights by acceptance of leave-of-absence or by appointment to a University of Arkansas administrative position.

9. Tenure becomes effective at the beginning of the nine- or twelve-month appointment period following the President's action granting tenure (July 1 for twelve-month appointments, and the beginning of fall semester for nine-month appointments).

10. Each year at the meeting at which promotions are considered by the Board of Trustees, the President shall inform the Board of the names of each person awarded tenure during the preceding twelve months, and shall indicate for each such individual the rank and date of appointment to the University faculty.

11. An individual in a tenure-track position who was not awarded tenure with any of the first six academic year or fiscal year appointments must be evaluated as specified in Section IV.A.6. during the sixth appointment. If he or she is not approved for tenure, the seventh appointment shall be a terminal appointment.

12. A faculty or staff member holding tenure rights may be dismissed for cause only after the procedures prescribed in Section V.C. have been followed. A tenured person notified that he or she will be so dismissed will, except in cases of moral turpitude, be given notice of dismissal twelve months prior to termination of employment. This provision does not create an award of severance pay, but assumes the full performance of University responsibilities and duties assigned for the period between dismissal notice and final termination.

13. No faculty member shall be dismissed or denied reappointment in violation of the following principles of academic freedom, but the observation of the limitations stated herein is the responsibility of each faculty or staff member. Mere expressions of opinions, however vehemently expressed and however controversial such opinions may be, shall not constitute cause for dismissal. The threat of dismissal will not be used to restrain

faculty members in their exercise of academic freedom or constitutional rights.

a. The faculty member is entitled to full freedom in research and in the publication of results, subject to the performance of his or her other academic duties, but personal research for pecuniary return requires prior approval by the appropriate University authorities and must be in accordance with Board Policy 450.1.

b. The faculty member is entitled to freedom in the classroom in discussing the subject of the course, but should not teach material inappropriate or unrelated to the course.

c. The University faculty member is a citizen, a member of a learned profession, and a member of an educational community. Speaking or writing as a citizen, the faculty member is free from institutional censorship or discipline. However, as a person of learning and as a member of an educational community, the faculty member has a responsibility for awareness that the public may judge the profession and the institution by his or her utterances. Hence, faculty should at all times make an effort to be accurate, exercise good judgment and appropriate restraint, show respect for the opinions of others, and indicate that they are not spokespersons for the institution.

B. Non-reappointment

These procedures apply to non-tenured faculty members who are in tenure-track positions (assistant professors, associate professors, professors, distinguished professors, and University professors) who are not offered a next successive appointment for the period following the expiration of a current appointment. These procedures do not apply to faculty in clinical attending positions at the University of Arkansas for Medical Sciences bearing the designation of assistant professor, associate professor or professor.

The appointment of a non-tenured faculty member may be terminated effective at the end of the appointment period, at the option of either the individual or the University.

A chairperson, dean, or chief academic officer who decides not to recommend a non-tenured faculty member for reappointment shall notify him or her in writing in accordance with the following schedule and shall enclose a copy of this section with the letter of non-reappointment:

—Not later than March 1 of the first year of service, if the appointment expires at the end of that year; or at least three months in advance of its termination if the appointment terminates

during the first calendar year of continuous employment.

—Not later than December 15 of the second year of service, if the appointment expires at the end of that year; or at least six months in advance of its termination if an appointment terminates during the second calendar year of continuous employment.

—At least 12 months before the expiration of the terminal appointment after two or more consecutive academic, fiscal, or calendar years in the institution. The terminal appointment will be for the academic or fiscal year, according to the appointment last held by the individual.

The individual, upon being notified that he or she will not be reappointed, may request an interview within ten working days after receipt of the notice, first with the dean of the school or college, or other appropriate administrators, then, if the employee requests it, within an additional five working days, with the chief academic officer of the campus. The dean of the school or college, or other administrator, and the chief academic officer jointly will, within ten working days, make the final decision on any request that the decision be reconsidered.

Department chairpersons and other employees on that campus may be requested to participate in their individual capacities in the interviews by the individual concerned, by the chief academic officer, or by the dean or other appropriate administrator.

If the individual does not request these interviews within the time limits stated above after receipt of notification of non-reappointment, the matter shall be considered closed.

C. Dismissal

This section applies to all faculty members.

1. Preliminary Proceedings: When a chairperson or dean has reason to consider a decision to dismiss a person who has tenure rights or an untenured faculty member prior to the expiration of an appointment, he or she shall discuss the matter with that person privately. After the discussion, if the decision of the chairperson or dean is to recommend dismissal, he or she shall prepare a statement of the grounds constituting the cause for dismissal and forward it through the chief academic officer to the chief executive officer on the campus, with a copy to the faculty member. If the faculty member requests it within five working days after receipt of the statement, a subcommittee of faculty members, as determined by procedures developed by each campus, shall be named by the chief executive officer to make an informal inquiry into the situation and to effect an adjustment, if possible. If

no settlement is effected, the subcommittee shall determine whether, in its view, formal proceedings shall be instituted to consider the individual's dismissal, and it shall notify the individual concerned, the chief executive officer of the campus, and other appropriate administrators of its conclusion. If the subcommittee recommends that such proceedings be begun, or if the chief executive officer of the campus, after considering a recommendation of the subcommittee favorable to the individual, decides that a proceeding should be undertaken, action shall be commenced according to the procedures which follow.

2. Hearing Procedures: The formal proceedings shall be initiated by a communication addressed to the individual by the chief executive officer of the campus informing him or her of the dismissal and the grounds for it, and that, if he or she so requests, a hearing to recommend whether his or her employment by the University shall be terminated on the grounds stated, will be conducted at a specified time and place by a faculty committee constituted as described in Section 4 below. Sufficient time shall be allowed to permit the individual to prepare a defense. The individual shall be informed in detail, or by reference to published regulations, of the procedural rights to which he or she is entitled, including the right to advice of counsel.

The individual shall indicate whether he or she wishes a hearing and, if so, shall file with the chief executive officer of the campus within two weeks of the date of the mailing of the communication by the chief executive officer of the campus an answer to the statement of grounds for the proposed dismissal.

If the individual does not request a hearing, no further action shall be taken. Further, at the request of the individual the proceedings provided for herein may be terminated at any time after the request for a hearing on written notice to the chief executive officer of the employee's acquiescence in the dismissal. Similarly, the administration may drop dismissal proceedings at any stage.

3. Suspension: Suspension of the individual from normal duties or reassignment to other duties during the proceedings will occur only if an emergency exists which threatens harm to the individual, to others, or to the University. Determination of an emergency shall be made by the chief executive officer, in consultation with the president. Such suspension shall be with pay.

4. Hearing Committee: The faculty of each campus shall establish a systematically rotated panel of faculty from which hearing committees can be drawn. To hear a particular case a committee,

selected from the panel in accordance with campus policies, shall be composed of faculty members of departments not involved in the dismissal.

Upon receipt from the chief executive officer of the campus of a copy of the statement of grounds for dismissal, accompanied by the individual's answer thereto, the chairperson of the hearing committee shall conduct hearings and recommend a course of action as provided in Section IV.C.5.

5. Committee Proceedings: The committee shall proceed by considering, before the time of the hearing, the statement of grounds for dismissal already formulated and the individual's written response.

In addition to the members of the committee, only the person requesting the hearing and his or her representative, the chief executive officer of the campus and/or his or her designee, and witnesses called by the committee are permitted to attend the hearing.

Charges contained in the initially formulated statement of grounds for dismissal may be supplemented at the hearing by evidence of new events occurring after the initial communication to the individual which constitute new or additional cause for dismissal. If such supplementary charges are adduced, the committee shall provide the individual with sufficient time to prepare his or her defense.

The chief executive officer of the campus shall have the option to attend or not to attend the hearing, and he or she may designate an appropriate representative to assist in developing and presenting the case.

The committee shall determine the order of proof and shall supervise the questioning of witnesses.

The individual shall have the aid of the committee when needed in securing the attendance of witnesses. The individual or his or her representative and the chief executive officer of the campus or his or her designated representative shall have the right within reasonable limits to question all witnesses who testify orally.

The committee will use its best efforts to provide an opportunity for those involved to confront all witnesses, but where this cannot be achieved despite the efforts of the hearing committee, the identity of such nonappearing witnesses, and any written evidence they may have furnished, shall be disclosed to all interested parties during the hearing.

Subject to these safeguards, written statements may, when necessary, be taken outside the hearing and reported to it. All of the evidence shall be duly recorded. Formal rules of court procedure need not

be followed, but the committee shall exercise reasonable efforts to protect the rights of the parties in the reception of evidence.

6. Consideration by Hearing Committee: The committee shall formulate its recommendation in private, on the basis of the hearing. Before doing so, it shall give opportunity to the individual and the chief executive officer of the campus or his or her designated representative to make oral statements before it. If written arguments are desired, the committee may request them. The committee shall proceed to arrive at its recommendation promptly without having the record of the hearing transcribed when it feels that a just decision can be reached by this means, or it may await the availability of a transcript of the hearing. It shall make explicit findings with respect to each of the grounds for removal presented.

The chief executive officer of the campus and the individual shall be notified of the recommendation in writing and a copy of the record of the hearing shall be available to both parties.

A copy of the record of the hearing and the recommendations of the hearing committee shall be furnished to the president of the University for his or her decision. The decision of the president shall be transmitted to the chief executive officer of the campus and to the individual involved.

7. Consideration by Board of Trustees: If the decision of the president is appealed to the Board of Trustees, or if the Board of Trustees chooses to review the case, the president shall transmit to the Board of Trustees the full report of the hearing committee, stating its recommendation and his or her own decision. The review shall be based on the record of the previous hearing, accompanied by opportunity for argument, oral or written or both, by the principals at the hearing or by their representatives. The decision of the Board of Trustees on review shall be final. It shall be communicated to the president and through him or her to the person involved.

V. Annual Review

An annual review of the work and status of each tenured and tenure-track faculty member shall be made on the basis of assigned duties and according to criteria and procedures required herein. Faculty not in tenure-track positions shall be evaluated by procedures adopted by each campus.

A. Faculty

The annual review of each faculty member shall provide the primary basis for the chairperson's

recommendations relating to salary, promotion, granting of tenure, successive appointment, non-reappointment, and dismissal. Furthermore, this review is to provide guidance and assistance to all faculty in their professional development and academic responsibilities in the areas of teaching, scholarly and creative activity, and service.

Criteria and procedures for an annual review of all tenured and tenure-track faculty on a campus shall be adopted by the faculty of that campus through its governance structure; the deans and chief academic officer of the campus shall have an opportunity to give their advice regarding these criteria and procedures; these criteria and procedures must be submitted to the chancellor of the campus and the President for approval. More detailed criteria and procedures may be recommended by the faculty and chairperson of each academic unit; these criteria and procedures must be submitted to the dean, the chief academic officer of the campus, the chancellor of the campus, and the President for approval. All procedures for annual reviews adopted by a campus shall include provision for and details of implementation of the following:

1. Within a reasonable time after the beginning of the first appointment of each faculty member: written notification to the faculty member of the criteria, procedures, and instruments currently in use in assessing performance;

2. Within a reasonable time after the beginning of each academic year: written notification to each faculty member of that year's assignments, review schedule, and the criteria, procedures, and instruments to be used that year;

3. Reasonable opportunity for each faculty member to submit any material desired to be considered in the annual review;

4. Peer evaluation;

5. Student evaluation of teaching;

6. Prior to the chairperson's making a recommendation in any year: (a) a meeting between the chairperson and faculty member to discuss all issues relating to the review, (b) the providing to that faculty member of a copy of the chairperson's tentative recommendation(s), and (c) reasonable opportunity for the faculty member to submit a written response to be forwarded to each subsequent level of review;

7. As long as a faculty member is employed by the University and for at least three years thereafter: maintenance of annual review forms, summaries of annual discussions between the chairperson and faculty member, recommendations, and all other writings used in or resulting from the annual reviews of that faculty member;

8. Availability to each faculty member of all writings used in or resulting from the annual reviews of that faculty member.

Each year the chief academic officer of each campus shall (a) require of each chairperson an assessment of the performance of all faculty members in the academic unit, including an identification of all faculty development needs and of all problems in performance of faculty, (b) take steps designed to insure compliance on that campus with all criteria and procedures for annual reviews, and (c) provide the chancellor with a written report indicating the extent of compliance during the past year, as well as any needs and problems identified and solutions planned.

The annual review of each administrative officer shall serve as the basis for decisions relating to salary and continuation as an administrator. Furthermore, this review is to provide guidance and assistance to all administrative officers in their professional development.

(End of Board Policy 405.1)

UALR Criteria and General Standards for Initial Appointment, Successive Appointments, Promotion, and Awarding of Tenure

In accordance with the provisions of Board Policy 405.1 on appointments, promotion, and tenure as revised, the UALR University Assembly developed and adopted on November 5, 1980 the following criteria and general standards. Detailed written criteria and general standards also exist at the department and college/school levels.

I. Criteria and General Standards for Initial Appointment

The selection of an individual to be appointed as a faculty member at UALR should be guided by the following general standards:

A. Basic requirements for appointment to the faculty are the following:

1. an appropriate degree and/or recognized professional experience as defined by each academic department;
2. competence in teaching as demonstrated through previous teaching experiences or teaching potential.

B. Other factors to be considered in recommending an individual for appointment to the faculty may include, but are not limited to the following:

1. interest in scholarly activities as demonstrated through such things as publications, grants—written and funded, presentations, creative activities, reports and research projects, curriculum development and design;
2. service interests as demonstrated through such things as University service, professional involvement at the community, state or national level, involvement in professional organizations, potential for relating discipline to the community.

II. Criteria and General Standards for Successive Appointments

Specific activities and accomplishments which constitute satisfactory service for successive appointments are to be defined by each academic department for each academic rank. Expectations in the areas of teaching, scholarly activities, and service should be defined.

Teaching

To assess faculty performance, satisfactory accomplishment may be demonstrated through such things as, but is not limited to, the following:

1. Student evaluations
2. Peer evaluations
3. Self evaluation
4. Curriculum design and development
5. Creative/innovative teaching strategies

Scholarly activities

To assess faculty performance, satisfactory accomplishment may be demonstrated through such things as, but is not limited to, the following:

1. Publications
2. Research and/or research project grants
3. Performances
4. Concerts
5. Exhibitions
6. Speeches/presentations to professional meetings
7. Awards/recognition in professional activities

Service activities

To assess faculty performance, satisfactory accomplishment may be demonstrated through such things as, but is not limited to, the following:

1. Committee/special project participation (department, college, University, system)
2. Discipline-related community involvement
3. Working in and with professional organizations

4. Relating discipline to the community
5. Development of cooperative ventures between University and community
6. Advisement of students
7. Participation in professional meetings

III. Criteria and General Standards for Promotion

Promotion in rank is based upon merit. In as much as it is incumbent upon departments to determine what activities and accomplishments constitute satisfactory service in rank, it is expected that promotion to a higher rank requires qualifications or performance of the activities and accomplishments identified by the department significantly above those required at the applicant's current rank as well as evidence of potential for continued achievement.

Areas to be addressed by each applicant include: teaching, scholarly activities, and service activities.

Evidence of meritorious performance may be demonstrated through such things as, but is not limited to the following:

Teaching

1. Student evaluations
2. Peer evaluations
3. Self evaluation
4. Curriculum design and development
5. Creative/innovative teaching strategies

Scholarly activities

1. Publications
2. Research and/or research project grants
3. Performances
4. Concerts
5. Exhibitions
6. Speeches/presentations to professional meetings
7. Awards/recognitions in professional activities

Service activities

1. Committee/special project participation (department, college, University, system)
2. Discipline-related community involvement
3. Working in and with professional organizations
4. Relating discipline to the community
5. Development of cooperative ventures between University and community
6. Advisement of students
7. Participation in professional meetings

IV. Criteria and General Standards for Procedure Concerning Awarding of Tenure

The procedure for recommending tenure begins at the department level [in accordance with Board Policy 405.1, Section IV.A.]. Each department shall establish its own mechanism for reviewing tenure applications to be approved through administrative channels. This mechanism must include faculty participation in the recommendation process.

The evaluation of each application should be made in relation to guidelines for performance/achievement as established by the department and approved through administrative channels.

Faculty Evaluation Procedures

All full-time faculty members are evaluated annually in accordance with criteria, standards, and procedures established by the Board of Trustees, the UALR administration, the University Faculty Senate, and the individual academic units.

These procedures implement the requirements specified in Board Policy 405.1, seen above. Departmental and college/school written criteria and procedures are available from the appropriate chairpersons and deans. The Office of the Vice Chancellor and Provost prepares and regularly updates a schedule of guidelines and timetables. In April 1990, the Faculty Senate endorsed the following procedures and criteria for faculty evaluation. In November 1998, the Faculty Senate approved the Post-Tenure Review Policy, which follows the Annual Faculty Review procedures below.

Annual Faculty Review

An annual review of the performance of each tenured and tenure-track faculty member shall be made on the basis of assigned duties and according to criteria and procedures required herein. Faculty not in tenure-track positions shall be evaluated by procedures adopted by each unit (department).

The annual review of each faculty member shall provide the primary basis for the chairperson's recommendations relating to salary, promotion, granting of tenure, successive appointment, non-reappointment, and dismissal. Furthermore, this review is to provide guidance and assistance to all faculty in their professional development and academic responsibilities in the areas of teaching, scholarly and creative activity, and service.

A. Procedures for Annual Faculty Evaluation

Detailed criteria and procedures for annual evaluation of faculty shall be recommended by the faculty and chairperson of each academic unit; these criteria and related procedures must be submitted to the dean (or director), the Vice Chancellor and Provost, the Chancellor, and the President for approval. All procedures for annual reviews adopted by each unit shall include provision for, and details for implementation of, the following:

1. No later than 30 days after beginning of the first appointment of each faculty member the chairperson shall advise him or her in writing of the criteria, procedures, and instruments currently used to assess performance;

2. No later than September 1 of each year, each faculty member shall be informed in writing by the chairperson of the review schedule, criteria, procedures and instruments to be used that year;

3. No later than January 15 of each year, each faculty member shall submit to the chairperson any materials desired to be considered in the annual review;

4. Peer evaluation;

5. Student evaluation of teaching;

6. Prior to the chairperson's making a recommendation in any year, the following shall occur: (a) a meeting between the chairperson and faculty member to discuss all issues relating to the review, (b) the providing to that faculty member a copy of the chairperson's tentative recommendation(s), and (c) reasonable opportunity for the faculty member to submit a written response to be forwarded to each subsequent level of review;

7. As long as a faculty member is employed by the University and for at least three years thereafter, the following documents shall be maintained: annual review forms, summaries of annual discussions between the chairperson and faculty member, recommendations, and all other writings used in or resulting from the annual reviews of that faculty member;

8. Availability to each faculty member of all writings used in or resulting from the annual reviews of that faculty member.

Each year the Vice Chancellor and Provost shall (a) require of each chairperson an assessment of the performance of all faculty members in the academic unit, including an identification of all faculty development needs and of all problems in performance of faculty, (b) take steps designed to ensure compliance of that unit (department) with all criteria and procedures for annual reviews, and

(c) provide the chancellor with a written report indicating the extent of compliance during the past year, as well as any needs and problems identified and solutions planned.

B. Criteria for Faculty Evaluation

Each faculty member shall render service to the University by the standards of the *UALR Faculty Handbook*, including *Section V: Faculty Responsibilities*, and shall behave in a professional and ethical manner. Each faculty member shall be evaluated based on his or her achievements with respect to assigned duties and the areas of (a) teaching (or professional performance for faculty members with non-teaching appointments); (b) scholarly or creative activities; and (c) academically-related service.

Competency in teaching (or professional performance) is a minimum criterion for satisfactory annual review. However, each unit (department) may allow flexibility in identifying the relative importance of each area. In addition, off-campus duty assignments and research assignments shall be taken into account when establishing individual criteria for a specific review period.

1. Evaluation of Teaching or Professional Performance

Teaching: Although difficult to evaluate, teaching performance must be given high priority. Important measures for good teaching are influence exerted on students and the mastery of the field.

Teaching is defined in terms of providing for student learning in a variety of ways, including classroom or clinical instruction, team teaching, supervision of independent study or research, thesis or dissertation supervision, multidisciplinary teaching activities, student advisement, course preparation, curriculum design and development, use of creative teaching strategies and technologies, etc. Evidence used to evaluate teaching generally includes student evaluations, peer evaluation, self-evaluation, and other materials.

Professional Performance (in the case of faculty with non-teaching appointments): Evaluation may include but is not limited to evidence of the following: performance in the areas of professional responsibility and effectiveness in carrying out assigned duties; ability and willingness to accept additional responsibility and/or leadership; cooperation in dealing with personnel at all levels; efforts at self-improvement; innovations in program implementation; development of special projects, resource tools, and/or the use of creative techniques

in the performance of duties; initiative and resourcefulness in solving unit problems; ability to communicate effectively orally and in writing. Evidence used to evaluate professional performance generally includes supervisors' evaluations, clientele evaluation, peer evaluation, self-evaluation, and other materials.

2. Evaluation of Scholarly or Creative Activities

Scholarly or creative activities are defined in terms of those activities and work products that contribute to the professional growth of the faculty member and the faculty member's academic discipline. Evidence used to evaluate scholarship may include research, academic publications, grants, contracts, papers presented at professional meetings, membership on editorial boards of professional journals, service as a manuscript referee, fellowship awards, and instruction materials preparation (textbooks, video tapes, lab manuals, etc.). In fields where it is appropriate, performances, concerts, exhibitions, and other creative endeavors are considered under the rubric of scholarship. An essential element of judging scholarly or creative activities is peer review.

3. Evaluation of Academically-related Service Activities

Service shall be evaluated in terms of service to the public, the University, or the profession and may include activities such as discipline-related community service, work on college or University committees, department service, administrative service, recruitment, in-service education, working with professional organizations, and participation in professional meetings. The University has identified public service as an important objective.

Post-Tenure Review

Post-tenure review is a mechanism to ensure that the University can maintain a faculty capable of fulfilling the University's mission effectively. It should encourage productivity, reward exceptional performance, and offer correction of unsatisfactory performance without changing the rights of faculty as enumerated in the current *UALR Faculty Handbook*.

Annual review is conducted for all faculty. Criteria, standards, and procedures are specified in policies set forth by the trustees, UALR administration, faculty senate, and academic units. The reviews are used for determining salary increases, promotion, tenure, and to assist faculty in professional development. Faculty also have

appeal processes as outlined in departmental governance documents and the *UALR Faculty Handbook*.

Annual reviews for tenured faculty will be used for post-tenure review. Academic units will define overall unsatisfactory performance for tenured faculty. If a tenured faculty member receives two unsatisfactory reviews in sequence or three such reviews in five years, the faculty member, departmental group charged with peer review, chair, and the dean shall prepare a professional development plan supported by appropriate resources. The plan shall cover up to three years with the possibility of a one-year extension. During the time period of the professional development plan, progress toward successful completion of the plan will become part of the annual review process for the faculty member.

When a faculty member receives two additional unsatisfactory reviews during the professional development plan period, the department chairperson, with majority vote of the departmental peer review committee, and the dean, initiates the process for terminating with cause the tenured faculty member as specified in the *UALR Faculty Handbook*.

This policy takes effect January 1, 2001. The policy will be reviewed by the Tenure Committee and the Faculty Senate in the spring of 2006.

Faculty Excellence Awards

The UALR Foundation Fund Board in 1988 instituted a series of annual awards to recognize and reward faculty excellence in three specified areas of performance: teaching, research or creative endeavors, and professional and public service. Recognition is accorded at the college level and at the University level. Each award consists of a framed certificate and a cash gift of \$1,000 at the college level and \$5,000 at the University level.

I. Nature and Categories of Awards

A. Award for excellence in teaching.

This award is to recognize, encourage, and reward superior class-room teachers – individuals whose command of their respective disciplines, teaching methodologies, communications skills, concern for student performance, and commitment to the learning process exemplify the teacher/mentor model.

The award is not intended to be a popularity contest. It is designed to distinguish those teachers who maintain high expectations of their students and who ensure academic rigor in their courses.

B. Award for excellence in research or creative endeavors.

This award is to recognize, encourage, and reward those individuals whose research or creative endeavors have been particularly successful and are so recognized locally, regionally, and nationally. The results of these efforts should have contributed to the expansion of knowledge and/or the quality of life, and/or encouraged additional research.

C. Award for excellence in public service.

This award is to recognize, encourage, and reward those individuals who have brought credit to the University of Arkansas at Little Rock through their successful efforts in applying the content or skills of their academic disciplines in service to the community, state, or nation in areas of public interest.

This award is designed to distinguish those persons whose achievements in serving the public interest have been particularly successful and are so recognized locally, regionally, or nationally.

II. Number and Frequency of Awards

A. Award for excellence in teaching.

1. There may be one award in each college/school of the University annually.
2. There shall be one University-level award annually. The University-level awardee shall be chosen from the college/school-level award winners.

B. Award for excellence in research or creative endeavors.

1. There may be one award in each college/school of the University annually.
2. There shall be one University-level award annually. The University-level awardee shall be chosen from the college/school-level award winners.
3. The awards for excellence in research and scholarship may be shared where the achievements being recognized result from joint efforts.

C. Award for excellence in public service.

1. There may be one award in each college/school of the University annually.
2. There shall be one University-level award annually. The University-level awardee shall be chosen from the college/school-level award winners.

D. The term “colleges/schools” refers to the following organizational units within the University:

The College of Arts, Humanities, and Social Sciences

The College of Business Administration

The College of Education

The George W. Donaghey College of Information Science and Systems Engineering

The School of Law

The College of Professional Studies

The College of Science and Mathematics

In the event of administrative reorganization, the list of colleges and schools shall be adjusted accordingly.

III. Selection

A. Eligibility.

1. Persons with faculty status as defined in the current faculty handbook, except for the visiting category, holding full-time appointments who have completed one or more full years of service to the University may be nominated; faculty who have administrative responsibilities are eligible if their administrative duties are 50% or less of their work assignment for the academic year.
2. Faculty members who are otherwise qualified for the teaching award but who are not administratively a part of one of the seven named colleges/schools shall be eligible through the award process of the college/school that offers the courses such faculty teach.
3. Persons may not receive an award of the same category in two consecutive years.

B. Nominations.

1. Persons considered for awards shall be identified through a process of nomination.
2. The nomination process shall be open – i.e., any person may nominate a faculty member for any of the awards.

C. Selection committees – college-level awards.

1. There shall be a selection committee within each college/school.
2. The size and composition of the committee shall be as follows:
One representative chosen by the faculty from each department within the college/school.

- One student member.
- One alumni member.
- 3. In colleges/schools which are not organized departmentally, the faculty shall develop a method for faculty representation.
- 4. The manner of choosing the student and alumni members shall be determined by the college/school faculty.
- 5. Individuals who serve as administrators with the title of department chair (or its equivalent) and at higher levels of administration are not eligible to serve on the selection committee.
- 6. Individuals who are nominated for an award may not serve on the selection committee.

D. Selection committee – University-level awards.

- 1. There shall be a single national selection committee composed of seven members.
- 2. No member shall be employed by the University of Arkansas at Little Rock.
- 3. The Chancellor shall appoint the chair of the national selection committee, who shall select the other members of the committee.
 - a. The Faculty Senate shall be informed of the Chancellor’s choice for chair.
 - b. The composition of the committee shall be national in scope and broadly representative of the disciplines in the colleges/schools in the University.
 - c. Committee members may be selected from the academic and nonacademic spheres of endeavor.
- 4. Committee members shall receive an appropriate honorarium.

IV. Procedure

A. Administration of the award process.

- 1. Administrative support for the award process shall be the responsibility of the Office of the Provost.

B. Solicitation of nominations.

- 1. Not later than September 30² of each year, the Provost shall advise members of the campus community of the award process and nominating procedure.
 - a. The Director of Alumni Affairs shall advise the alumni of the University through appropriate alumni publications.

2. Dates may vary slightly from year to year, and are included in the annual announcement.

- b. Information about the awards shall be widely disseminated throughout the community to encourage nominations from the business, professional, and public sectors of the community.

C. Preparation of nomination packets.

- 1. Nominators are responsible for preparation of nomination packets containing information as specified in the attachment, “Preparation and Submission of Nomination Packets.”
- 2. Department chairs or equivalent administrators shall cooperate with nominators in assembling supporting evidence.

D. Submission of nomination packets.

- 1. One copy of each nomination packet for the college-level awards shall be submitted to the college selection committee not later than January 28.³
- 2. One copy of each college-level winner’s packet shall be forwarded to the Provost not later than March 8.⁴

E. Selection committee action.

- 1. College-level selection committees shall meet as necessary in order to complete the selection of the award winners prior to March 11.⁵
 - a. Committee procedures shall be determined by the respective colleges/schools.
 - b. The committee shall review such materials as are submitted in the nomination packet.
 - c. The proceedings of the committees shall be confidential.
 - d. The committee shall prepare for each college-level winner a one-page letter of support to be included in the nomination packet.
 - e. Each college-level committee shall forward one copy of the nomination packets of the winners of the college-level awards to the Provost not later than March 8.⁶
- 2. The Provost shall forward sets of nomination packets to members of the national selection committee.
 - a. The chair shall advise the Provost of the committee’s selections by a date designated by the Provost.

3, 4, 5, 6. Dates may vary slightly from year to year, and are included in the annual announcement.

- b. The proceedings of the committee shall be confidential.
- c. The announcement of University-level winners shall be made at a suitable University event.

University of Arkansas at Little Rock Annual Award for a Department of Excellence

Description and Instructions

The Award

The University of Arkansas at Little Rock will honor a Department of Excellence with an award of \$35,000 toward further enhancement of the department. In addition, the department that receives the award will receive a \$2,000 continuing increase in its basic departmental maintenance budget. The department may also use the phrase “Department of Excellence for (year)” on its letterhead for a five-year period after receiving the award.

Eligibility

Academic departments with a significant mission in undergraduate credit instruction, meaning the department devotes a majority of its teaching effort to the undergraduate program, are eligible for the award. A department that receives the award is not eligible to apply again for five years.

Selection Process

Departments may apply for the award using the format included here.

An ad hoc university evaluation committee composed of one full-time faculty member each from the colleges of Arts, Humanities, and Social Sciences; Business Administration; Education; Information Science and Systems Engineering; Professional Studies; and Science and Mathematics will select the finalists at the campus level. Each college will select the faculty representative to serve on this evaluation committee annually by a process determined by the college. The committee shall choose its chair. In the Committee’s deliberations, a faculty representative may speak on any nominee, but in the committee’s voting a faculty representative cannot vote for a department from the college that he or she represents.

The committee cannot recommend more than five finalists, and may choose fewer or none. The several finalists do not have to be from different colleges.

The same off-campus panel that selects the university-wide faculty excellence awards will choose the department to receive this award. The off-campus panel may choose not to select a department to receive the award if they feel none of the applications warrant the award in a given year.

Administration

The Office of the Provost will administer the Department of Excellence award process each year. The timetable for the application and award process will parallel the timetable for the annual Faculty Excellence Awards. Applications for this award should be submitted to the Office of the Provost at the same time the nominations for faculty excellence awards are submitted.

Instructions for the Application Information

The application form requests the department to state its mission, and then to summarize its activities in several areas. Although a department may wish to emphasize some areas more than others, the application must address achievement in all these areas. The successful application will show achievement in all the areas. The summary may include activities of the department as a whole, or of individual faculty members, or of both. The application should emphasize the department’s activities for the previous five years.

The application should not exceed seven typed (not less than 12 point type) single-spaced pages. Do not include the explanatory phrases after each heading. Do not include additional documentation, supporting letters, statistical summations, and the like. Only the seven pages of the application will be considered by the university evaluation committee and, for the finalists, forwarded to the off-campus judges.

Retrenchment

(Board Policy 405.5, revised 1984 and 1993)

Retrenchment is a reduction in programs and/or services which results in the termination of employment only because of (1) a bona fide financial exigency or (2) formal academic planning including Board approved changes in institutional missions, substantial program changes (pursuant to Board Policy 620.1), or major reallocations of resources for academic or support services. In the implementation of retrenchment, fair and humane treatment of faculty, staff, and students is of great concern. Serious efforts shall be made to relocate affected faculty and staff in other parts of the program area or in a different program area of the same campus

or division. Similarly, currently enrolled students will be permitted, through special arrangements, to complete a program of studies begun before retrenchment was implemented.

Financial Exigency Retrenchment

A bona fide financial exigency will be certified when a unit of the University of Arkansas is threatened by an imminent monetary crisis which is of such gravity as to make imperative the termination of personnel. A certification of financial exigency shall involve the following steps:

1. The head of a unit⁷ proposes a situation of financial exigency documented with budget summaries and projections.

2. Academic administrative personnel and a unit-wide governance standing committee which is representative of unit constituencies shall separately evaluate the documentation and within ten (10) calendar days recommend to the unit head whether they concur with the determination of the bona fide exigency. The governance body shall be informed of the recommendation made by its standing committee.

3. The unit head shall evaluate the recommendations made by the academic administrative personnel and by the committee and shall forward them, along with his/her final recommendation, to the President, who will report the results of the campus deliberation, along with his/her own recommendations, to the Board of Trustees for action.

4. The Board of Trustees shall either certify a bona fide financial exigency, and the unit head shall initiate the retrenchment process, or declare the situation to be a financial stringency, and the unit head shall ameliorate the situation through budget reductions which shall not involve the immediate termination of personnel.

If the Board of Trustees certifies a bona fide financial exigency, the unit shall initiate retrenchment. The unit head shall consult with appropriate administrators and the standing committee of the governance body before determining that major sub-unit(s) are to be retrenched and the financial level of retrenchment. In determining major sub-units to be retrenched, the following criteria must be considered: (1) centrality of the sub-unit to the mission of the institution, (2) quality of the

sub-unit, and (3) cost of the sub-unit, including the relative degree of economic self-sufficiency. In making this determination they shall examine non-academic areas and programs for possible retrenchment as well as academic programs.

Once the extent of necessary retrenchment has been ascertained, each affected academic dean⁸ or administrative officer of nonacademic areas shall be responsible for recommending programs to be retrenched and the number of personnel affected in accordance with criteria and procedures established by the appropriate campus governance body. In recommending programs to be retrenched, the criteria, listed above, must be considered. Alternatives to termination of personnel shall be considered such as early retirement, transfer, voluntary salary reduction, leave-of-absence without pay, as well as normal attrition of personnel, and reductions or postponements in benefits. Within a given department, any faculty member with tenure must be retained over a person who does not have tenure.

The college dean⁹ or other administrative officer shall report his/her recommendations to the unit head through appropriate administrative channels. The unit head shall notify the employee(s) who are to be terminated. A person who has been terminated may, in writing, appeal the decision within ten (10) calendar days of the receipt of a certified letter of notification of termination. The appeal shall be based on whether there was material deviation from the established campus-wide guidelines for termination because of retrenchment and shall be filed with the unit head and heard by a committee designated by the campus governance body. The committee shall make a report and recommendations within five working days to the unit head, who shall make the final decision and notify the appellant immediately.

Classified employees retrenched because of financial exigency will be terminated in accord with Board Policy 405.4, and in no case will termination be effected without 30 days notice. Non-classified employees retrenched because of financial exigency cannot be assured that notice of the duration specified in Board Policy 405.1 will precede termination. Non-classified employees retrenched because of financial exigency shall be given notice at least 60 days in advance of termination.

7. Hereafter the Chancellor, Vice President for Agriculture, or director of a unit which reports directly to the President will be referred to as a head of a unit.

8, 9. The dean of a college or school or the head of a major academic sub-unit.

Academic Planning Retrenchment

Academic Planning Retrenchment occurs when faculty, tenured or untenured, are to be terminated as a result of established planning activities. The three reasons for this retrenchment are Board approved changes in institutional mission, substantial program changes and major reallocations of resources for academic or support services. Academic Planning Retrenchment shall involve the following steps:

1. The head of a unit shall propose a retrenchment and justify the proposal with appropriate documentation.

2. The proposal shall be reviewed and recommendations made by the appropriate academic and other administrators and by the appropriate governance body or bodies. In all cases involving academic programs, the review shall be made pursuant to Board Policy 620.1.

3. The unit head shall evaluate the recommendations and shall forward them, along with his/her final recommendations, to the President, who will report the results of the campus deliberation, along with his/her own recommendations to the Board of Trustees.

If the Board of Trustees declares an Academic Planning Retrenchment, the unit head shall work with the appropriate administrators to determine the needed level of retrenchment and the personnel affected. Within a given academic program, any faculty member with tenure must be retained over a person who does not have tenure.

Faculty members, tenured and non-tenured, who are terminated under Academic Planning Retrenchment shall be given notice specified in Board

of Trustees Policy 405.1, Section IV.B. Classified personnel and staff who are terminated under Academic Planning Retrenchment shall be governed by Board of Trustees Policy 405.4, Section 3. Any appeal made as a result of Academic Planning Retrenchment shall be in accord with the existing appellate structure.

All retrenchment recommendations, financial and academic, must be approved by the Board of Trustees.

The foregoing policy shall be utilized only in those instances in which the Board of Trustees has specifically determined that the policy and procedures therein are applicable. It is recognized that the President, Chancellors and the Vice President for Agriculture on occasion may be required to terminate staff or faculty members and other academic employees in positions for which tenure may not be awarded under the provisions of Board Policy 405.4 to implement functional changes, for budgetary reasons or other reallocation of institutional resources. The President, Chancellors and the Vice President for Agriculture shall continue to be authorized to effect terminations of such employees for the foregoing reasons on such terms and under such procedures as they might deem fair, reasonable and appropriate, consistent with the required notification provisions of Board Policy 405.4, and this Board Policy 405.5 shall not be applicable to such terminations.

(End of Board Policy 405.5)

