Faculty Handbook Proposed Revisions

Chapter 3, III.A

A. Tenured Appointments

A "tenured appointment" is a commitment by the university to a sequence of annual appointments, such sequence being terminable only by a resignation, retirement, removal for cause, financial exigency, or discontinuance of program. Although no contract for more than one year can be made between any members of the faculty and the university, the principle of tenure shall be observed as an act of good faith on the part of the university. Academic employees may be tenured only with respect to their academic rank and not with respect to administrative titles or assignments.

Tenured faculty members are eligible for all privileges extended by the university to regular professional personnel, including such programs as retirement and other fringe benefits, leaves of absence, professional travel, and other privileges outlined in this handbook. Tenured faculty members are eligible for full participation in the affairs of the university, its component institutions, and its departments and administrative units in accordance with university policy.

The university may grant an initial appointment with tenure in a department at the rank of associate professor or professor in cases of exceptional individual merit and professional accomplishment. Such an appointment is subject to the following:

- An person individual must have earned tenure at a regionally or nationally accredited institution or such other accredited institutions as may be approved by the provost in a field appropriate to the appointment.
- 2. The approval of a majority of the tenured faculty members of the department after a meeting *en bloc*. The tenured faculty must meet *en bloc* and a majority must approve the awarding of tenure with the initial appointment. If a majority of the tenured members of the appropriate department, the department chair, and the college dean approve of concur with the recommendation to award tenure recommendation with the initial appointment, the provost, acting in conformity with university policy, may shall indicate tenure with in the initial letter of appointment that tenure has been awarded.

The provost will maintain a file and a list of all persons and their respective departments who were granted tenure with the initial letter of appointment.

IV. Faculty Rank

Faculty rank represents the explicit recognition by the faculty and the university of a faculty member's credentials and accomplishments in teaching, scholarship, and service. All full-time faculty members are appointed at a rank commensurate with their education, their experience, and the programmatic needs for which they were hired. Tenured, tenure-track, and certain non-tenure-track faculty may advance to higher ranks upon fulfilling the criteria set forth in this Faculty Handbook.

All references to degrees in this handbook refer to earned degrees from regionally accredited institutions, or such other accredited institutions as may be approved by the provost.

A. Tenurable Tenured/Tenure Track Ranks

Only tenured or tenure-track faculty may hold. The ranks of assistant professor, associate professor or professor are limited to tenured or tenure-track faculty with a terminal degree, may hold the rank of assistant professor, associate professor or professor. For exceptions, see 3.IV.D. However, In in certain exceptional cases of institutional, programmatic, or departmental need, however, the provost may recommend a continuing faculty member without a terminal degree for special consideration in accordance with Section 3.IV.D. of an instructor for tenured status upon receipt of a written positive recommendation of a majority of the tenured and tenure-track departmental faculty and the college dean.

Assistant Professor

An assistant professor should show evidence of teaching ability, substantial experience in advanced study and research, or professional experience of a kind that would permit a comparable academic contribution. An assistant professor should exhibit promise of originality and excellence in some field connected with teaching, writing, research, or the creative arts, and should have demonstrated ability in guiding and counseling students. An assistant professor is expected to command the subject matter of some segment of the general field of the discipline, in addition to a comprehension of the whole.

An assistant professor must hold a master's degree (or its equivalent) and have earned at least thirty additional hours of graduate work in an appropriate discipline from an institution granting a doctorate in that or a related field. Faculty members whose teaching responsibility is primarily in a clinical, laboratory, or field experience area will be eligible for the position of assistant professor if they have earned a master's degree (or its equivalent) and appropriate certification, as determined by their department and approved by the college dean and provost.*

2. Initial appointment of Tenure-track faculty without the doctoral a terminal degree in a tenure-track position will be will have an initial appointment at the instructor rank. Any tenure-track instructor with a tenure-track appointment will be promoted to assistant professor contingent upon receiving the doctorate

or appropriate terminal degree (with proof of completion), in accordance with conditions specified in the initial letter of appointment. before the end of the first semester of employment. If the doctorate is received after the first semester but before the start of the next academic year, promotion to assistant professor will be effective with the start of the next academic year. These conditions should be stated in the initial This letter of appointment along with an indication of shall state the length of time allowed for completion of the doctorate degree (as described in IV.B.1) and any considerations regarding salary incentives and the tenure-track lineadjustments. The probationary period begins at the time of initial appointment to the tenure-track position, regardless of rank.

B. Non-Tenurable Ranks — Continuing Faculty

1. Instructor

Instructor is a rank designated only for tenure-track faculty who have not completed their terminal degree. Faculty members may hold the rank for a period of time established in their initial letter of appointment (cf. Chapter 3, Section IV.A.1). Appointment to assistant professor will be effective at the beginning of the fall or spring semester immediately following receipt by the Provost's Office of an official transcript showing that the terminal degree was awarded. Completion of the terminal degree must occur within the time period specified in the initial letter of appointment, not to exceed three semesters. If additional time is warranted for extenuating circumstances, a maximum of two additional semesters may be granted with the recommendations of the Department Personnel Advisory Committee, Chair, and Dean, and approval of the Provost. Instructor is ordinarily a non-tenure-track rank. This rank should be given only to persons with advanced training who have demonstrated scholarly, pedagogical, or creative ability. An instructor must have knowledge of the particular course materials and should have intellectual vision, but the instructor need not be expected to have acquired a total integration or philosophy of the entire discipline. In some technical fields, professional experience may bear considerable weight; in other areas, teaching experience is essential. Reappointment depends upon satisfactory performance as well as scholarly progress and a demonstrated interest and ability to pursue an academic career.

An instructor must hold the master's degree (or its equivalent) in the discipline or in an appropriate discipline.

Chapter 3, IV.D.

D. Exceptional Cases

The university recognizes there may be instances when an individual, though not possessing the requisite academic credentials, may on the basis of recognized scholarship and/or professional accomplishment of extraordinary distinction merit faculty rank. In such exceptional cases, the rank of professor may be granted in the appropriate department subject to the following:

Upon receipt of a written positive recommendation, approved by a majority of the tenured departmental faculty, the department chair, and the college dean, the provost may recommend to the president that university requirements be waived in that instance for a particular rank.

While the faculty rank of professor may be granted under exceptional circumstances, an individual holding a granted professorial rank is not eligible for tenure.

The provost will maintain a file and a list of all persons and their respective departments for whom the university requirements for a particular rank were waived.

D. Additional Criteria for Promotion: Education and Service Requirements

To be eligible for promotion to the tenure-track ranks, the education requirements are as follows:

1. Assistant Professor

Master's degree and at least thirty additional hours of graduate work in an appropriate discipline from an institution granting a doctorate in that or a related field;

2. Associate Professor

A doctorate in an appropriate discipline.*

Professor

A doctorate in an appropriate discipline.*

*One who holds the sixty semester hour Master of Fine Arts degree with creative thesis in studio art or theatre or one who holds the MFA degree in creative writing is qualified to apply for promotion to each academic rank.

To be eligible for promotion to assistant professor, a faculty member shall have been an instructor in a tenure-track position for at least one year. For promotion to associate professor, a faculty member ordinarily will have been in a tenure-track position an assistant professor for at least six years, including any years credit toward promotion granted with the initial appointment. For promotion to professor, a faculty member will have been an associate professor for at least six years. Years in rank service shall mean years served at UCA with the following exception: If an individual joining the university has had successful faculty or post-doctoral experience at another regionally accredited college or university, the university may count a specified number of those years toward promotion. Evidence of such successful professional performance will be submitted and evaluated at the time of employment and credit to be awarded must be indicated in the initial letter of appointment.

VI. Procedures for Tenure and Promotion

A. Procedures Prior to Tenure Review

3. Extension of Probationary Period

A faculty member may request a single, one-year, good cause extension of the probationary period while continuing employment with the university. Good cause refers to personal, not professional, circumstances that substantially interfere with the employee's ability to perform as a faculty member in one or more areas for a minimum of one semester. Good cause is normally restricted to serious illness or other disability and exceptional family care responsibilities such as pregnancy, childbirth, adoption, or being the primary care-giver of a minor child or other individual who requires extraordinary care and is dependent upon the employee for that care. The request must be made in writing, as soon as possible, but no later than May 31 of the year in which the employee would otherwise apply for tenure. The request is forwarded through the chair and dean, with recommendations, to the provost, who makes the final decision. The provost will notify the faculty member, the chair, and the dean of the final decision no later than July 1 of the same year.

The provisions of this policy are independent of a leave of absence from the university.

Chapter 3, Section VI.D.2

2. College Dean

The college dean will make an independent review of each candidate's file, making recommendations concerning tenure before making recommendations concerning promotion. The recommendations for promotion will be independent of the recommendations for tenure.

The dean's perspective should, of necessity, be broader than that of the department chair. In addition to and exclusive of the candidate's individual qualifications and performance, the dean must consider compelling programmatic needs and the stated mission and goals of the college.

Each candidate for tenure will receive a positive or negative recommendation. The dean shall explain the rationale for this recommendation in a separate letter to the provost. Each candidate for promotion will receive a positive or negative recommendation. The dean shall explain the rationale for this recommendation in a separate letter to the provost. All positive recommendations for promotion will be placed in priority order.

The dean will provide written notification to the candidate of the dean's recommendation and will meet with any candidate who has received a negative recommendation from the college committee or the college dean. The candidate may, at this point, withdraw the application.

All files will be forwarded to the provost by December January 15.

In any case in which the dean is a candidate for tenure or promotion, the file will be forwarded directly from the college committee to the provost.

Chapter 3, Section VI.E.

E. University Level Review

1. Provost

The provost will determine which candidates will be recommended to the president, making the determination for tenure recommendations before making the determination for promotion recommendations. The determination shall be that of the provost although the provost may consult with the Council of Deans on any candidate. Recommendations of the provost for promotion will be placed in priority order. In addition to and exclusive of individual qualifications and performance, consideration must be given to significant institutional budgetary concerns and compelling programmatic needs. In cases where significant institutional budgetary concerns or compelling programmatic needs may limit the number of faculty from a department to be granted tenure in a given year, the provost will give the departmental faculty the opportunity to rank its tenure candidates.

The provost will provide written notification to the candidate of the provost's recommendation by March 15, prior to submitting recommendations to the president. If requested by the candidate, the provost will meet to discuss the reasons for the negative recommendation. At this point the candidate may withdraw the application. If a candidate wishes to appeal, the candidate may submit an appeal to the university tenure appeals committee or the university promotion appeals committee (see Chapter 3, Section VI, H). The appeal must be submitted to the president within seven working days of notification of the negative recommendation. The committee will notify the president of its decision with a copy going to the provost.

The provost will submit to the president each active candidate's file, including a complete report showing the action taken by each committee and administrator.

Chapter 3, Section VII

VII. Procedure for Advancement of Non-Tenure-Track Faculty

During the sixth year of continuous service, in his/her current rank, a lecturer/clinical instructor/laboratory instructor is eligible to be considered for advancement to level II status or senior status provided programmatic needs justify continuation of the position.

A. Application

The procedure for advancement is initiated by the faculty member. It is the responsibility of the faculty member to be aware of his/her own status regarding advancement, as well as the policies and procedures involved. A faculty member seeking advancement is responsible for preparing the initial application and ensuring that all relevant materials are included. The application applicant should include documentation that the faculty member he or she has met all eligibility requirements for advancement as outlined in Chapter 3, Section IV, Part B (2) (3) (4), and using the document entitled, "Directions: Application for Advancement," which is available on the Academics webpage: (http://www.uca.edu/provost/importantinfo.php)

Chapter 3, VII.C.

C. Process

A faculty member applying for interested in advancement must submit inform the department chair or appropriate library administrator, in writing, by September 1 that he/she plans to apply for advancement. A his or her completed application to the department chair or appropriate academic administrator by September 1.using the document entitled, "Directions: Application for Advancement," is due to the department chair by October 1.

The department chair will recommend a process for formation of an advancement committee, subject to approval by the college dean. The department chair will appoint a committee following consultation with departmental faculty that will have three to five faculty and, when possible, include a combination of tenured, tenure-track, and non-tenure-track faculty. The chair will forward the application to the committee.

The committee, after considering the file of each faculty member, will submit a report to the department chair with a written justification for its recommendation by October 15 for each faculty member. If more than one faculty member is recommended for advancement, a ranked list is required.

The chair of the department advancement committee will provide written notification to the candidate of the committee's recommendation(s) and forward all files to the department chair by October 1.

The department chair will evaluate the applications and prepare his/her recommendations. If more than one faculty member is recommended for advancement, a ranked list is required. The department chair will meet with a faculty member who has received a negative recommendation from either the committee or the chair. The faculty member may withdraw his/her application; if not withdrawn, all files and recommendations are forwarded to the dean by November 1.

The chair will provide written notification to the candidate of the chair's recommendation by December 1 and will also meet with any candidate who has received a negative recommendation from the departmental committee or the department chair. The candidate may, at this point, withdraw the application; if not withdrawn, the file will be submitted to the college dean.

The dean will conduct an independent review of all recommendations and corresponding files and prepare a written recommendation for the provost. If more than one faculty member is recommended for advancement, a ranked list is required.

The dean will provide written notification to the candidate and the department chair of the dean's recommendation by January 15 and will also meet with any candidate who has received a negative recommendation. In the event of a negative recommendation, the dean will inform the faculty member and the department chair of the decision to deny advancement, and the faculty member may withdraw his/her application. If an application is not withdrawn, the dean will send the entire record is sent to the provost by December January 15.

The provost renders the decision by March 15 regarding advancement and informs the faculty member, in writing, of the decision.

X. Expiration, Termination, or Non-Renewal of Appointment

The university complies with all federal and state laws concerning non-discrimination in the areas of race, gender, disability or other matters, and non-renewal or termination shall not violate any of the foregoing laws. In addition, as set forth in Chapter 3, Section X, Part A 3 below, if the faculty member alleges that violations of academic freedom contributed significantly to the decision not to renew the appointment, the matter shall be referred to the Academic Freedom Committee.

A. Expiration of Term Appointment

Upon expiration of a term appointment, whether tenure-track or non-tenure-track, the employee is a free agent to whom the university has no obligation. The university may at its discretion, reappoint the employee to the same or a different position. Non-reappointment does not necessarily carry any implication as to the quality of the employee's work, conduct, or professional competence.

Consultation with Tenured Faculty in Certain Cases

Prior to notifying certain faculty members of their non-reappointment, the department chair shall consult with the tenured faculty of the department meeting, *en bloc*, and the views of the tenured faculty shall be communicated by the chair to the dean of the appropriate college and to the provost. This consultation with the tenured faculty of the department shall occur in the case of non-reappointment of (i) any tenure-track faculty member or (ii) a faculty member whose appointment carried the expectation of renewal (i.e. a faculty member whose appointment did not contain language notifying the faculty member that such appointment was either temporary or on an emergency basis).

2. Notification Provisions

When any faculty member <u>with a continuing appointment</u> is not to be reappointed upon the expiration of the term of the appointment, written notice will be provided to the faculty member, by either the department chair or the dean of the college, as follows:

a. For tenure-track faculty members:

- not later than March 1st of the first academic year of service;
 or, if an initial one-year appointment terminates during an academic year, at least three months in advance of termination;
- ii. not later than December 15th of the second academic year of service; or, if the second year appointment terminates during

- an academic year, at least six months in advance of termination; and
- iii. at least twelve months before the expiration of an appointment after more than two years of service.
- b. For non-tenure-track <u>continuing</u> faculty members:
 - i. not later than March 1st of the first academic year of service;
 or, if an initial one-year appointment terminates during an academic year, at least three months in advance of termination;
 - ii. not later than December 15th in years two, three and four of the member's service; or, if such appointment terminates during an academic year, at least six months in advance of termination; and
 - iii. at least twelve months before the expiration of an appointment beginning with the member's fifth year of service.
- Non-continuing faculty members (cf. Chapter 3, Section IV.C) do not have the expectation of renewal and are not subject to these notification provisions.

Notwithstanding any of the foregoing provisions or any other provision of this *Faculty Handbook,* the appointments of tenure-track as well as non-tenure-track faculty may be terminated for cause prior to the expiration of the original contract period.

3. Allegation of Violation of Academic Freedom

If a faculty member alleges in writing to the president, within ten working days of the receipt of written notice of non-reappointment, that considerations violative of academic freedom significantly contributed to the decision, the allegation will be referred to the academic freedom committee.

4. Limited Appeal to Ensure Proper Procedure Followed

A faculty member described in (i) or (ii) of Chapter 3, Section X, Part A 1 above, shall have a limited right of appeal to the Faculty Grievance Panel, in cases other than termination for cause, to ensure that proper procedures have been followed in the non-reappointment of the faculty member. This limited appeal is solely to ensure that proper procedures were followed regarding consultation with the tenured faculty and the notification provisions. (See: Chapter 7, Part 1 H.)

D. Procedures Relating to Non-renewal of Appointment or the Termination of Nontenure-track Faculty Members with More than Seven (7) Years of Service

This section applies to non-tenure-track faculty members who have completed more than seven (7) years of continuous, full-time service to the university when their appointment is not renewed, or when the university determines to terminate the faculty member. Along with the written notification of non-renewal or termination, a faculty member shall be apprised in writing that this section of the Faculty Handbook outlines the process for his or her termination or non-renewal of appointment.

This section does not imply, nor shall it be interpreted, to grant tenure to such member, or constitute a contract of employment. No action of the university in connection with the non-renewal of an appointment or the termination of a non-tenure-track faculty member shall violate any provision of state or federal law. This section applies to non-tenure-track faculty members who have completed more than seven (7) years of continuous, full-time service to the university. It is adopted in recognition of the continued service by such faculty members to the university. Any faculty member covered by this section shall be notified in writing that such faculty member is covered under the terms of this provision of the *Faculty Handbook*. It is designed to provide certain due process rights when a faculty member covered under this section does not have his or her appointment renewed, or when the university determines to terminate the faculty member. This section does not imply, nor shall it be interpreted, to grant tenure to such member, or constitute a contract of employment. No action of the university in connection with the non-renewal of an appointment or the termination of a non-tenure-track faculty member shall violate any provision of state or federal law.

- 1. Non-renewal of Appointment
 - a. The university may determine not to renew the appointment of the non-tenure-track faculty member for budgetary, programmatic or other reasons relating to the overall needs of the institution (for example, a decline in enrollment; the cancellation of a program or course of study; a decline in funding; a change in the number of tenured or tenure-track faculty positions in a department; or the conversion of the position to a tenure-track position). A programmatic reason shall not be the replacement of one non-tenure-track faculty member with a new non-tenure-track faculty member performing the same or substantially the same teaching responsibilities within a department. The decision not to renew the appointment under this provision is made upon the recommendation of the department chair and dean to the provost. The provost shall then notify the faculty member of the non-renewal of the

- appointment. In cases where more than one person in a department is not to be renewed due to reasons set forth herein in the same year, all factors shall be considered, including but not limited to, such faculty member's length of service to the university, departmental needs, as well as overall performance as a faculty member.
- b. A non-tenure-track faculty member whose re-appointment is not renewed under this provision shall be provided with written notice of such non-renewal at least twelve months in advance.
- c. If the faculty member whose appointment is not renewed alleges, in writing, that the non-reappointment is due to violation of academic freedom, the matter shall be referred to the Academic Freedom Committee. In all other instances, the faculty member whose appointment is not renewed, shall have limited appeal to the Faculty Grievance Panel.
- d. If the faculty member believes that procedural errors were made in the non-renewal decision, he or she may appeal those alleged errors to the Faculty Grievance Panel. This limited appeal is solely to ensure that proper procedures were followed. [A reference will be added here to the description of the Faculty Grievance Panel in Chapter 7.]

Chapter 5, IV.D.14.

D. Phased Retirement (Board Policy 356)

<u>Preface</u>: Under the "Older Workers Benefits Protection Act (OWBPA)," a person may not waive any right or claim under the "Age Discrimination in Employment Act (ADEA)" unless the waiver is "knowing and voluntary." The following is provided to meet the "knowing and voluntary" provision of the OWBPA:

1. The phased retirement program is a voluntary program offered by the University of Central Arkansas. The program, adopted by the UCA Board of Trustees on March 12, 1999, is initially available to all full-time tenured faculty members who have completed ten (10) years of continuous service at UCA and who are fifty-five (55) years of age or older on or before November 1 of the calendar year prior to the commencement of phased retirement.

A year of continuous service is defined as a nine-month full-time faculty assignment, twelve-month full-time faculty assignment or twelve-month full-time administrative assignment. The ten (10) year minimum may be achieved using any combination of years of full-time faculty or administrative service. Approval or disapproval of an individual faculty member's application will be determined by the provost based upon the needs of the institution and fiscal considerations.

- 2. A faculty member who does not meet the age or service requirements described in paragraph one (1) or who is receiving long-term disability insurance benefits or workers' compensation benefits is ineligible to participate in the program. In the event there is a period of time in which a faculty member is on leave without pay, such period of time will not be considered when calculating the number of years of continuous service for eligibility purposes. A period of time in which a faculty member is on leave without pay status will not be construed as disrupting continuous service whereas years of continuous service are disrupted in the case of a faculty member resigning his/her position with the university and returning at a subsequent period in time.
- 3. A faculty member will be given a period of at least forty-five (45) calendar days to consider the Agreement and Waiver.
- 4. Faculty members interested in the phased retirement program may select a period from one (1) to five (5) calendar years of phased retirement. Upon selection of the number of years of phased retirement, the period may be shortened or lengthened only upon approval of the provost. In no case will the

- period of phased retirement exceed five (5) calendar years. The decision to participate in phased retirement is irrevocable.
- 5. Full retirement and cessation of tenure begins with the completion of the last semester of the phased retirement period. During the phased retirement period, the reduction in teaching and/or administrative hours will not be replaced with an increase in other university employment. Full retirement means termination of all employment with the university.
- 6. A faculty member selecting the phased retirement program may be able to structure the fractional full-time equivalent (FTE) of his/her load differently each year of phased retirement, but each year the load will be based on one of the following:

FTE Load	Percent of Base Salary	
One-quarter (%) FTE	Up to twenty-five percent (25%)	
One-half (½) FTE	Up to fifty percent (50%)	
Three-quarters (¾) FTE	Up to seventy-five percent (75%)	

- 7. During the phased retirement period, a faculty member's teaching load may be divided among the fall and spring semesters, summer sessions, and intersessions, as agreed to by the faculty member and provost. The initial agreement will specify FTE load and its timing for each year of phased retirement. Once an FTE load has been defined, it may only be modified with approval of the provost.
- 8. During the phased retirement period, health and other insurance benefits and the cost/share percentages in force for full-time faculty will continue for a faculty member, as well as any spouse and/or other eligible dependents.
- 9. During the phased retirement period, payments by the university and by each faculty member into his/her retirement plan will continue under the normal terms of the plans. Contributions will be based upon proportional base salary only. A faculty member's contributions will be limited by plan requirements and by the Internal Revenue Code pre-tax and after-tax maximum annual calculations.
- 10. During the phased retirement period, tuition remission for a faculty member, as well as any spouse and/or other eligible dependents will be afforded in the same manner as that of full-time faculty members not selecting the phased retirement program.

- 11. During the phased retirement period, a faculty member will enjoy all rights and privileges of full-time faculty members not selecting the phased retirement program, including but not limited to parking, sporting events, library, office space, and clerical services. A faculty member in phased retirement, however, will not be eligible for sabbatical leave.
- 12. During phased retirement period, a faculty member's tenure status will not be altered.
- 13. During the phased retirement period, a faculty member will be eligible for proportional increases in salary in the manner afforded full-time faculty members not selecting the phased retirement program.
- 14. To be considered for the phased retirement program, a faculty member must submit an application to the provost by November 1 of the year preceding the calendar year he/she wishes phased retirement to commence. In consultation with the applicant's department chair and college dean, the provost may recommend modification of the proposal and will notify the faculty member of the final approval or disapproval of the application by December 15 following its receipt. The final decision to accept or reject the proposal will be rendered by the provost. Phased retirement will commence at the completion of the spring term following approval by the provost.
- 15. A faculty member having received approval from the provost to participate in the phased retirement program will be given a period of at least seven (7) days following the signing of the Agreement and Waiver in which to revoke it. The Agreement and Waiver is not effective or enforceable until the revocation period expires.
- 16. A faculty member having elected the phased retirement program does not waive rights or claims which may become available after the waiver is executed.
- 17. A faculty member waives rights or claims only in exchange for the opportunity to participate in the phased retirement program.
- 18. During the phased retirement period, the university may dismiss a faculty member for cause consistent with the requirements of the *Faculty Handbook*.
- 19. A faculty member is advised to seek advice and counsel of attorneys, accountants, and others who can aid his/her in making an informed decision about participating in the phased retirement program.