

UAM FACULTY HANDBOOK

Introduction

This Faculty Handbook for the University of Arkansas at Monticello has been designed to provide a brief review of important policies and procedures of interest to faculty and administrators. Separate handbooks for staff and students provide information of interest to those members of the University community.

Much of the material in this Handbook is in summary form. The Handbook, therefore, is not the complete and exact text of all University or State rules, regulations, and policies. Appropriate administrative offices will provide employees with further information about matters mentioned in the Handbook should they be needed. The University of Arkansas reserves the right to revise, modify, or repeal any of its policies or procedures through future actions.

This revision (February 2006) of the Faculty Handbook that was originally published in 1995 supersedes all previous revisions. Faculty and administrators are encouraged to review the document often, as revisions will be made as needed.

Last revision date: October 17, 2012

Additional Policy and Procedures may be found in:

UAM Operating Procedures – available www.uamont.edu

U of A System Board of Trustees Policy Statements – available www.uamont.edu

Universitywide Administrative Memoranda – available in the Office of Academic Affairs

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CHAPTER ONE - GOVERNANCE

I. GOVERNANCE OF THE UNIVERSITY OF ARKANSAS SYSTEM

A. Description of University Components

1. General Provisions

The University of Arkansas System is a land-grant State University System offering statewide educational opportunities ranging from certification programs to post-doctoral study. The System is comprised of the following campuses:

The University of Arkansas at Fayetteville
The University of Arkansas for Medical Sciences, Little Rock
The University of Arkansas at Little Rock
The University of Arkansas at Monticello
The University of Arkansas at Pine Bluff
The University of Arkansas at Fort Smith
The University of Arkansas Community College at Hope
The University of Arkansas Community College at Batesville
The University of Arkansas Community College at Morrilton
Phillips Community College of the University of Arkansas
Cossatot Community College of the University of Arkansas
The University of Arkansas Clinton School of Public Service

These educational units and the divisions that comprise the system, together with certain authorized adjuncts to each, constitute the University of Arkansas System for which the Board of Trustees is the governing board of control.

2. Board of Trustees and Administration

For details see University of Arkansas Board of Trustees Policy 100.4, June 27, 1975, revised April 21, 1978.

B. Campus Governance

1. Purposes and Implementation

The constituency of each campus shall develop a system of governance to establish policies and procedures for that campus. The proposed system shall be submitted to the Chancellor and the President of the Board of Trustees. The purposes shall be to provide a system that permits a broad base for governance of that campus through appropriate involvement of the administration, students, faculty and staff in the determination of guidelines and policies for campus affairs and to generate and promote understanding, collaboration and a sense of community on that campus.

Upon review and recommendation by the Chancellor and the President and approval by the Board of Trustees, the proposed plan shall be adopted and shall supersede all existing instruments of governance pertaining to that campus. Subsequent amendments shall follow the same procedure. Until such a plan is

submitted and approved, all rights, privileges, and obligations granted to faculties and other groups by existing documents relating to campus governance shall remain in effect. The responsibility and authority hereinafter described in this section shall be vested in the campus organization by the Board of Trustees and shall be subject to review by the Board. No provision of these regulations shall be interpreted to prohibit establishment of a system-wide governance to consider matters of system-wide impact and concern.

2. Authority and Responsibility

The governance organization on each campus shall, under the Board of Trustees, be the legislative body responsible for developing educational policies and programs on that campus. Among other matters, this responsibility includes:

- a. admissions requirements;
- b. curriculum and courses;
- c. degrees and requirements for degrees;
- d. calendar and schedule;
- e. academic honors and honorary degrees;
- f. student affairs;
- g. interpretation of its own legislation.

The campus government shall have the authority to make recommendations to the Chancellor, President, and the Board of Trustees on any matter of general faculty or campus-wide concern, including such matters as appointment, promotion, tenure, dismissal, and non-reappointment. Through the Chancellor, actions on any matter under this paragraph are reported to the President and, when requested by the campus government or considered necessary or desirable by the President, through the President to the Board of Trustees.

3. Organization and Operation

Each campus shall, consistent with provisions of this section, design any campus governmental structure and operate in any manner it determines consistent with the principles of sound democratic government. The following features shall be included:

- a. Members of the administration, faculty, staff, and students under the administrative jurisdiction of each of the principal campuses shall have representation in the governance of that campus.
- b. The local organization shall be predominantly faculty.
- c. Meeting notices and tentative agenda shall be publicized at least five days in advance of the meeting.
- d. Meetings shall be open to all represented persons, although floor privileges may be limited.

- e. Summaries of the meetings shall be made available to all members of the local governing body promptly after the meeting.
- f. Minutes of the meetings shall be forwarded promptly to the Chancellor and shall be deposited in the campus library.

4. Actions Disapproved by the Chancellor

The Chancellor of the campus may disapprove any action of the local government within two weeks after receipt of the action. If the Chancellor and the campus organization are unable to reconcile their differences, the local organization may, by at least three-fifths vote of those present and voting, provided that a quorum is present, appeal these differences to the President for mediation and to the Board of Trustees. If settlement is not achieved within 30 days, the President shall submit the issue to the Board of Trustees for resolution.

II. GOVERNANCE OF THE UNIVERSITY OF ARKANSAS AT MONTICELLO

A. UAM Administration

Chancellor: The Chancellor shall exercise complete executive authority subject to the policies established by the Board of Trustees and the President of the University of Arkansas System. He/she shall be the leader of and the official spokesperson for the campus; he/she shall promote the educational excellence and general development and welfare of the campus; he/she shall define the authority of committees and officers of the campus; and all projects, programs, and institutional reports to be undertaken on behalf of the campus shall be subject to his/her authorization and approval.

The Chancellor shall be responsible for enforcement of the policies, procedures, budgets, rules and regulations, and decisions of the Board of Trustees concerning the UAM campus. He/she shall make recommendations to the President with respect to the budget and the appointment of full-time academic personnel.

The Chancellor shall be the official medium of communication between the President and all deans, heads and chairs of academic units, and all other administrative officers, faculty members, students, and employees of the campus.

Provost and Vice Chancellor for Academic Affairs: The Provost and Vice Chancellor for Academic Affairs is the chief academic officer. He/she plans and coordinates all academic programs on the UAM campus. He/she directs and supervises the Office of the Registrar and Institutional Research, the Library, and all academic faculty through the academic unit heads. He/she provides academic counseling to individual students and supervises academic probation, dismissal, and attendance policies.

The Provost and Vice Chancellor for Academic Affairs holds executive authority when the Chancellor of the University of Arkansas at Monticello is unavailable. In the absence of the current Chancellor, the Provost and Vice Chancellor for Academic Affairs shall be responsible for enforcement of the policies, procedures, budgets, rules and regulations, and decisions of the Board of Trustees concerning the UAM campus. He/she is directly responsible to the Chancellor.

Vice Chancellor for Finance and Administration: The Vice Chancellor for Finance and Administration manages and directs all financial matters for the University. Areas under his/her direction and supervision include the Offices of Accounting, Budgeting, Accounts Payable, Accounts Receivable, Purchasing, Cashiers, Inventory, Insurance, Financial Aid, Warehouse, Motor Pool, Public Safety, Telecommunications, Payroll, Personnel, Information Technology, Bookstore, Custodial Services, Graphic Design and Copy Center, Grounds Maintenance and Operation and Maintenance of the Physical Plant. He/she is directly responsible to the Chancellor.

Vice Chancellor for Student Affairs: The Vice Chancellor for Student Affairs directs and supervises the following divisions: Office of Admissions, Office of Student Programs and Activities, Testing, Tutoring and Counseling Services, Career Services, Residence Life, Student Health Services, the University Center, Intramurals and Recreation, Special Student Services, Upward Bound, Gateway Student Support Services, International Student Services, and Recruitment. He/She reports directly to the Chancellor.

Vice Chancellor for University Advancement: The Vice Chancellor for University Advancement is responsible for planning, coordinating and implementing all fundraising endeavors throughout the University including the two College of Technology campuses. He/She reports directly to the Chancellor.

Vice Chancellor for the College of Technology at Crossett: The Vice Chancellor for the College of Technology at Crossett is responsible for directing this satellite technical campus of the University of Arkansas at Monticello. He/She is also responsible for supervising all staff at the Crossett campus. The individual carries out the responsibilities and duties assigned by the appropriate UAM administration. He/She reports directly to the Chancellor.

Vice Chancellor for the College of Technology at McGehee: The Vice Chancellor for the College of Technology at McGehee is responsible for directing this satellite technical campus of the University of Arkansas at Monticello. He/She is also responsible for supervising all staff at the McGehee campus. The individual carries out the responsibilities and duties assigned by the appropriate UAM administration. He/She reports directly to the Chancellor.

Academic Unit Heads: Unit heads are appointed by the Chancellor upon the recommendation of the Provost and Vice Chancellor for Academic Affairs. All unit heads report directly to the Provost and Vice Chancellor for Academic Affairs. An academic unit head may be reassigned to other duties upon receipt of thirty (30) days notice. Individuals promoted from a nine (9) month faculty appointment to a twelve (12) month academic unit head appointment will have their salary adjusted in accordance with UAM Operating Procedure 415.1. Likewise, individuals reappointed to a nine (9) month faculty position will have their salary adjusted accordingly.

A unit head's responsibility is the leadership and management of the academic unit. He/she is specifically responsible for the recruiting and supervision of faculty for that unit, class scheduling, the academic advising program for majors and minors, the quality and extent of curriculum (major/minor programs) and individual course offerings within

the unit, faculty evaluation and development, and other duties as required by the Chancellor and/or Provost and Vice Chancellor for Academic Affairs.

The academic unit heads and the Provost and Vice Chancellor for Academic Affairs make up the Academic Council, which is the executive authority under the Chancellor for the academic areas of the campus.

B. Administrative Committees

Administrative committees are formed to serve in an advisory capacity to the administration on matters pertaining to specific areas of the University of Arkansas at Monticello. The committees report to the Chancellor through other administrative officers but may from time to time wish to bring items to the UAM Assembly for the purpose of increased communication and shared information. All committee recommendations regarding policies are referred to the University Executive Council which consists of the Chancellor, the Provost and Vice Chancellor for Academic Affairs, the Vice Chancellor for Finance and Administration, the Vice Chancellor for Student Affairs, the Vice Chancellor for University Advancement, the Vice Chancellor for the College of Technology at Crossett and the Vice Chancellor for the College of Technology at McGehee.

Before any action becomes final, it must be acted upon by this group and approved by the Chancellor. Administrative committees will not recommend policies or act on matters delegated to the UAM Assembly by the University of Arkansas System Board of Trustees.

On matters not delegated to the UAM Assembly by the University of Arkansas System Board of Trustees, the committees have three principal functions:

1. to recommend policy;
2. to recommend operating procedures and practices;
3. to recommend adjudication of conflicts or competing needs.

The annual period of committee service is from the beginning of each fall semester through the second summer term, but recommendations and nominations are made prior to the close of the preceding spring semester. In instances of resignations or other terminations, the appointing officer shall appoint new members to fill the vacancies and complete the unexpired terms. The administrative office principally concerned with the activities of the committee will provide reasonable administrative support. Chairpersons for these committees will be designated by the Chancellor. Each committee will select its own recording secretary.

Appointments of members of the faculty will be for terms of three years and arranged so that approximately one-third of the appointees will terminate each year. After completing a term of service a faculty member is not eligible for reappointment to the same committee for the following year. Appointments of students will be for one year. Faculty members to serve on committees are recommended by the Assembly Chair. Student members are recommended by the President for the Student Government Association. Appointments will be made by the Chancellor. Ex-officio members of the University administration also serve at the discretion of the Chancellor.

A quorum composed of more than fifty (50) percent of the members is required to conduct business. Committees will meet at the call of the chairperson or on petition of more than twenty-five (25) percent of the members. A minimum of two meetings shall be held each semester with more meetings as concerns and needs require. Each committee shall keep minutes and distribute them promptly to all members with the official copy to be filed in the administrative office designated as the appointing office. An annual report on the current year's activities shall be filed by the chairperson with the Chancellor and the appropriate administrative office prior to August 20 of each year. The annual reports shall be short but comprehensive and should give prominence to any recommended revisions, policies, practices, and procedures of the University of Arkansas at Monticello. Annual reports shall be distributed by all committees to the office of each academic unit and to appropriate administrative officers and units.

Alumni Affairs Committee: This committee is responsible for homecoming activities. It coordinates the activities of the Alumni Association with those of the University and actively seeks alumni support for the University of Arkansas at Monticello.

Membership consists of the Vice Chancellor for University Advancement as chairperson, SGA president, five non-student Assembly members and two students.

Budget Committee: Receives budgetary recommendations from all budgetary units, estimates income, projects enrollment, and recommends an operating budget to the Chancellor.

Membership consists of the Vice Chancellor for Finance and Administration as chairperson, Provost and Vice Chancellor for Academic Affairs, ex-officio non-voting Assembly Chair and one other faculty as designated by the Assembly. It will be the responsibility of the Assembly Chair to report to the Assembly recommendations and decisions related to the budget.

Buildings and Grounds Committee: Functions as an advisory committee for the development and review of campus plans including the structure, placement, and development of buildings and grounds.

Membership consists of the Vice Chancellor for Finance and Administration, Director of Campus Operations and Physical Plant, four non-student Assembly members, and two students.

Information Technology: Formulates and reviews policies pertaining to the computer facilities. The Committee recommends additional software/hardware, programs or other utilities it deems as being potentially valuable tools for the University's computer facilities.

Membership consists of the Director of Information Technology as chairperson, two members designated by the Chancellor, two faculty members from different academic units, and one student.

Scholarship and Financial Aid Committee: Assists the administration of the University by (1) maintaining a beneficial aid program for students, (2) establishing the

criteria which individual students must meet in order to receive aid, (3) awarding institutional scholarships, and (4) developing additional financial aid and scholarship sources.

Membership consists of the Director of Admissions as chairperson, Director of Financial Aid, two non-student Assembly members, and two students.

Non-Academic Staff Advisory Committee: Serves as liaison and communication channel between the various groups of the non-academic staff and the University administration.

Membership consists of six non-faculty, non-student members of the University staff. Membership should be broadly representative of the various groups of the non-academic staff.

Human Relations Committee: Responsible for the identification of discriminatory practices within the University and for recommending programs which will alleviate discrimination and improve relations among students, faculty, and staff.

Membership consists of the Human Relations Officer as chairperson, two faculty members, two students, and two staff members.

Student Publications Committee: Formulates policy on student publications and the yearbook. It is also charged with approval of the editor and student staff personnel associated with the yearbook.

Membership consists of the faculty member serving as advisor to the UAM Yearbook and Newspaper as chairperson, the faculty member serving as advisor of The Foliate Oak, the Dean of the School of Arts and Humanities, three non-student Assembly members, and three students.

Student Recruitment Committee: Recommends policies and procedures for enhancing the recruitment of students.

Membership consists of the Director of Admissions, three non-student Assembly members, three student Assembly members, and the Vice Chancellor for University Advancement.

Parking and Traffic Committee: Makes recommendations and suggestions on parking and traffic rules and regulations. It also adjudicates traffic and parking citations issued by the University public safety officers.

Membership consists of the Assistant Vice Chancellor for Student Affairs as chairperson, two non-student Assembly members, three students, and one non-academic staff member from the Assembly membership.

Financial Aid Appeal Committee: Provides an avenue for all students denied assistance with a due process procedure of appeal for reinstatement if they believe there are mitigating circumstances which prevented them from meeting minimal academic standards.

Membership consists of the Director of Admissions as chairperson, two faculty members, two non-student assembly members, two student members, and the Director of Financial Aid as an ex-officio member.

C. The Constitution and Bylaws of UAM

See Appendix A

II. ORGANIZATION OF GRADUATE STUDIES

The Board of Trustees of the University of Arkansas has authorized four master's degree programs at the University of Arkansas at Monticello: the Master of Science Degree (M.S.) in Forest Resources, the Master of Education Degree (M.Ed.), the Master of Education Degree (M.Ed.) in Educational Leadership, and the Master of Arts in Teaching Degree (M.A.T.) The graduate faculty, represented by the Graduate Council and the Provost and Vice Chancellor for Academic Affairs, bears primary responsibility for graduate courses and graduate degree programs. The graduate faculty determines academic policies and establishes qualitative standards for graduate programs. (approved 04/28/98)

A. The Office of Graduate Studies

The Office of Graduate Studies is located in Academic Affairs and is headed by the Provost and Vice Chancellor for Academic Affairs or a designee of his/her choice. Any person who wishes to earn graduate-level credit, whether as a degree-seeking student or as a non-degree student, must make formal application to, and be officially admitted by, the Office of Graduate Studies.

B. The Graduate Faculty

The graduate faculty consists of the President of the University of Arkansas System, the Chancellor, and members of the faculty holding the rank of Assistant Professor or higher who are teaching graduate classes or who have other significant involvement in graduate studies (e.g., serving on student committee, supervising research, contributing scholarly expertise, etc.). Admission to the graduate faculty will be based upon approval of application (resume and proposed role in the program) by the Graduate Council. Other qualified individuals, including adjunct faculty, may be eligible for temporary membership to the graduate faculty based upon level of participation or expertise in scholarly activity and approval of application. Faculty who enter an inactive phase of involvement with graduate studies should notify the Graduate Council to withdraw their names from the graduate faculty.

With the approval of the Graduate Council, faculty who are not members of the graduate faculty may be assigned teaching responsibility for graduate courses.

The graduate faculty oversees graduate academic matters including policies and procedures, academic regulations, courses of instruction, admission standards, and degree requirements. Actions of the graduate faculty are implemented with the concurrence of the Chancellor. When the Chancellor does not concur in policy, action may be taken by

the graduate faculty. A majority vote of the graduate faculty taken within thirty calendar days will carry the action of the graduate faculty to the President for final determination. Graduate faculty meetings, called and chaired by the Provost and Vice Chancellor for Academic Affairs, shall be called at least once each Fall and Spring Semester. The Provost and Vice Chancellor shall also call special meetings upon written petition of at least one-fifth of the graduate faculty. Announcements of each meeting with an agenda shall be sent to the graduate faculty at least one week before the date selected.

The Provost and Vice Chancellor and the Graduate Council determine the agenda for each meeting, but any other items may be presented from the floor and, with the approval of the majority, shall be added to the agenda. Minutes of graduate faculty meetings will be distributed to the graduate faculty within one week.

While retaining authority to review, the graduate faculty approves or disapproves its actions and may delegate policy-making authority to the Graduate Council. A two-thirds vote of the graduate faculty overrules a policy made by the Graduate Council when taken during a regular or special graduate faculty meeting during the semester when the Graduate Council enacted the policy. Graduate Council policies enacted outside Fall or Spring Semester periods may be recalled during meetings of the next semester.

C. The Graduate Council

The Graduate Council is a policy-making body with responsibility delegated to it by the graduate faculty. The Council, chaired by the Provost and Vice Chancellor for Academic Affairs or his/her designated representative, determines its own procedures and interprets its own actions. The Council will meet at least once each semester. Minutes of Council meetings shall be sent to the graduate faculty. In cooperation with the Provost and Vice Chancellor for Academic Affairs, the Graduate Council implements guidelines for graduate education and reviews/develops policies and procedures concerning matters submitted by academic units (e.g., admission criteria, graduate courses, proposals for new graduate courses, and the evaluation of the quality of graduate education).

The Graduate Council is made up of graduate faculty (no unit heads) and two graduate student members (one from Education and one from Forest Resources). The graduate faculty on the Council consists of the following: two members each from the School of Education and the School of Forest Resources and one member each from the Divisions of Arts and Languages, Social Sciences, and Mathematics and Sciences. The Provost and Vice Chancellor for Academic Affairs will serve as an *ex officio* voting member. Graduate faculty within the respective academic units elects their member(s) of the Graduate Council. The term of office for each elected member will be two years with no more than two consecutive terms unless there is no eligible replacement. Student members are elected by the Graduate Council. Any vacancies occurring during the year may be filled for the unexpired term by an election of the affected unit=s graduate faculty.

D. Committees of the Graduate Council

The Graduate Council has no standing committees. However, the Council may appoint *ad hoc* committees as necessary. The Graduate Council will function as a committee of

the whole for considering matters such as curriculum, standards, admissions, and similar concerns.

E. Amendments to the Organization of Graduate Studies

The statement of Organization of Graduate Studies may be amended by a two-thirds majority vote of the graduate faculty members attending a meeting in which a quorum is present. The proposed amendment must appear on the regular meeting agenda distributed to members of the graduate faculty.

CHAPTER TWO – U of A POLICIES GOVERNING FACULTY SERVICE

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

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; Universitywide 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. (1B4) 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 interlineations 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 the purpose of this policy, the following definitions shall apply:

Appointment: An appointment is employment by written contract (“Notice of Appointment”) by the Board of Trustees to 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 his 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 Board Policy 405.1 for further information).

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	Library	Cooperative Extension Service*	Instructional Development	Museum
Professor	Director of Libraries	Extension Specialist IV	Instructional Development Specialist II	Curator
Associate Professor	Associate Librarian	Extension Specialist III	Instructional Development Specialist I	Associate Curator
Assistant Professor	Assistant Librarian	Extension Specialist II		Assistant Curator
Instructor		Extension Specialist I		

*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 made known 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 System 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 them 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 that 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.

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.”)

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 unit heads 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 (For the purpose of this policy and in reference to the items involving professional librarians, extension specialists, instructional equipment specialists, or museum curators, the terms chairperson, administrative officer and administrator refer to the director or head librarian.) each academic unit; these criteria and procedures must be submitted to the unit head, 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 Sections 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. 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, UA-F, 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 chairperson, 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 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 are a 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 of 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 spokesmen for the institution.

B. Non-Reappointment

These procedures apply to non-tenured faculty members who are in tenure-track positions (Assistant Professors, Associate Professors, University Professors, and Distinguished Professors) who are not offered a next successive appointment for the period following the expiration of a current appointment.

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 twelve 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 administrator, 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 of 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 unit head 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 any 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 may 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 non-appearing 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.

D. Annual Faculty 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.

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 review adopted by the campus shall include provision for, and details for 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 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.

E. Post-Tenure Review

In addition to annual evaluations, each tenured faculty member will undergo a more thorough evaluation every five years. The Post-Tenure Review evaluation procedures will follow the guidelines established for the Annual Faculty Evaluation of tenured and tenure-track faculty.

Tenured faculty will continue to demonstrate reasonable contributions in teaching, professional growth and development, and service. If a tenured faculty member's performance is "less than satisfactory" in any of the three professional development areas, the following plan is to be used to address the concern.

A tenured faculty member who receives a "less than satisfactory" Post-Tenure Review Evaluation will, in conjunction with the academic chair/dean, develop a plan for improvement to be implemented for the following Annual Evaluation period. During the next Annual Evaluation period, the faculty member will present evidence of having

positively addressed the concerns raised in the previous evaluation. Should the faculty member fail to take enough positive steps to remedy the initial “less than satisfactory” performance, the faculty member will work with three faculty colleagues from the academic unit to develop a plan for improvement and goals to achieve during the next year.

In the third year of this process, if the faculty member again fails to make reasonable progress in addressing the problems outlined in the initial plan for improvement, the faculty member will undergo another formal five-year Post-Tenure Review evaluation the next year.

At any point in this process when the faculty member presents evidence of having positively addressed the concerns raised in the initial Post-Tenure Review evaluation, the faculty member returns to the normal five-year Post-Tenure review process. The appeal process for the Post-Tenure Review will follow the same guidelines as those established for the tenure/promotion candidates.

Approved by UAM Faculty Council
November 30, 1998

CHAPTER THREE - APPOINTMENT, REAPPOINTMENT, PROMOTION, TENURE, AND DISMISSAL GUIDELINES

(Adopted by UAM Assembly April 28, 1992 and approved by President B. Alan Sugg June 16, 1992)

The following criteria and procedures, as an implementation of Board Policy 405.1, will govern the appointment, reappointment, promotion, tenure, and dismissal of faculty members on the campus of the University of Arkansas at Monticello. Additional requirements and specifications are set forth in departmental guidelines. (Contact your Academic Unit Head or the Provost and Vice Chancellor for Academic Affairs (VCAA) for guidelines developed by your academic unit.)

I. FACULTY RANKS

The University employs faculty in three academic ranks eligible for both promotion and tenure. The highest of these ranks is that of Professor, followed by Associate Professor and Assistant Professor. Progression through academic ranks recognizes a process of professional maturation among the faculty. The University also appoints faculty to the rank of Instructor, which is a non-tenure track position, but eligible for promotion.

Faculty holding the rank of *Professor* serve as role models for all faculty of the institution. Professors should exemplify distinguished classroom teaching and embody collegial activities which nourish the larger learning community. Professors will have sustained their accomplishments over time and their scholarly inquiry will include both synthesis and analysis while broaching larger issues and policy questions within a discipline.

As one of the two senior ranks of faculty, *Associate Professors* will have demonstrated their commitment to high quality, appropriate values and ideals for the life of learning and their willingness to promote stable and interdependent relationships among the faculty. Their maturing careers will illustrate distinguished development.

The rank of *Assistant Professor* normally represents the rank of initial appointment for faculty entering the tenure track. The assistant professor is expected to participate in professional activities that build a foundation for future growth and development and prepare faculty for tenure and entry into the senior ranks of service.

The rank of *Instructor* does not carry eligibility for tenure. Instructors undertaking and completing substantial proportions of a doctoral program may be promoted to the rank of Assistant Professor. When promoted, full completion of expectations for promotion to the rank of Associate Professor with tenure must be completed within six years, exactly as if the individual had begun the faculty appointment with the rank of Assistant Professor.

II. APPOINTMENT AND REAPPOINTMENT

The University will make initial appointment of faculty consistent with faculty qualifications and University need. Assistant Professor is the normal, initial rank of appointment for tenure-track faculty. It is usually awarded to faculty holding the doctorate. Occasionally, persons who have completed a substantial proportion of a doctoral program may be appointed to this rank. Initial appointments to the rank of Assistant Professor may also be made to persons holding the M.S.N., M.B.A./CPA, or M.S. in degrees such as computer science, computer information systems, or information sciences. Appointments are initiated through the academic

units following procedures designed to insure equal opportunity in recruiting and hiring a well qualified, diverse faculty to the fullest possible extent. No appointment is made for a period longer than one year. Faculty will be evaluated each year according to established procedures. Annual evaluations must include dimensions of teaching, professional growth, and development including scholarship and service. Annual evaluations will also give feedback on progress toward achieving established criteria for the awarding of promotion or tenure. Decisions on reappointment will take into consideration the individual faculty member's effectiveness in performance of duties. Fluctuations in departmental needs and university resources, however, will at times dictate non-reappointment for reasons other than assessment of merit. Individuals on terminal appointments should not expect reappointment.

III. PROMOTION

A. Criteria

Promotion of a faculty member from one academic rank to a higher rank is based upon merit in addition to a period of service and experience and is awarded in recognition of significant achievement following the candidate's last promotion. Normally the earned doctorate or terminal degree and five years of service in rank are required before promotion to the next rank. At the time of initial appointment, credit for time in rank may be awarded for earlier professional experience appropriate to a UAM assignment; such credit must be stated in writing and will not exceed two years.

The doctorate is presumed to be an essential professional qualification for promotion. Faculty in tenure-track positions, both with and without the doctorate who fulfill university-wide and departmental criteria are eligible for promotion and tenure through the rank of Professor. Faculty in tenure-track positions will be evaluated annually and advised about their progress toward the next rank.

Assistant Professors will not normally be considered for promotion to Associate Professor until they are in their fifth year as Assistant Professor at UAM. Faculty will usually be considered for tenure and promotion to Associate Professor at the same time. Associate Professors will not normally be considered for promotion to full Professor until they are completing their fifth year in rank of Associate Professor at UAM. No more than two years' credit toward time in rank for promotion will be given for professional experience appropriate to the UAM assignment.

Promotion to each rank will require evidence of continued growth since the last promotion, or, in the case of promotion to Assistant Professor, since the initial appointment to the rank of Instructor. Time in rank alone does not guarantee promotion. All candidates for promotion or tenure must document effective classroom teaching, sound scholarship, a program of self-renewal, and service activities. Academic units must include dimensions of teaching, scholarship, professional growth, and public service and may not omit these dimensions in departmental evaluations of candidates for promotion or tenure.

The following paragraphs attempt to describe attributes broadly enough to encourage uniqueness among the faculty but explicitly enough to foster consistent evaluation of individuals. Individual academic units may refine descriptions in order to clarify standards appropriately. However, no academic unit may exclude these described dimensions.

1. Teaching

Teaching represents the unifying mission of the University throughout the faculty and the academic units. While research is easy to measure, measurement and documentation of effective teaching are quite difficult, but nevertheless can and must be done. The techniques used to gauge effective teaching may and in fact should vary among the disciplines, but a common effort must be made to develop adequate tools and procedures. Effective teaching can be described and evaluated by faculty as well as students. Documented evidence of high quality teaching, including adequate classroom observations, is required for promotion or tenure. Individual academic units should define appropriate processes for evaluating teaching effectiveness.

Effective teachers mark the path of their progress with many clues. Course bibliographies often signal quality of teaching as do appropriately revised syllabi. Further evidence of effective teaching might come from faculty listings of innovative methods, applications of current technology, engagement of visiting colleagues, and use of library resources. As with other areas, it is the duty of the individual faculty member to document effective teaching performance.

2. Scholarship

The University has traditionally been given the societal role of generating, applying, and transmitting knowledge. In this respect, faculty members should be involved in creating, revising, and sharing knowledge through activities such as research, writing, and presentations at professional meetings. In addition to generating “new” knowledge, faculty members are charged with synthesizing existing knowledge and presenting it in new and challenging ways to students and others. In addition, by “translating” knowledge, faculty members can better educate the public and make the University more applicable to society at large.

Rather than dichotomous activities, scholarship and teaching represent mutually supportive activities. Good teaching is informed by scholarship because sound scholarship and continual faculty learning form the content of teaching. Scholarship, then, is broadly defined, may take many forms, and may yield a variety of products for peers to evaluate. Faculty scholarship includes the following faculty activities:

- Research producing new knowledge;
- Research producing new applications of knowledge;
- Synthesizing knowledge;
- Extending the audience for new knowledge through new communications;
- Pedagogical application of new methods, information, knowledge;
- Performance;
- Creation of art, music, or literature;
- Invention or design.

Products of scholarship may include materials such as the following:

- Books, published and in progress;

- Research papers;
- Computer-assisted instruction materials;
- Recitals;
- Computer programs;
- Copyrighted materials;
- Leadership in professional organizations;
- Monographs;
- Instructional materials for professional peers;
- Grant submission with funding;
- Book reviews;
- Works of art;
- Video productions;
- Television programming;
- Speeches and addresses.

Whether the product of scholarship is published or not, the scholarship itself must still be evaluated by university peers.

Successful “grantsmanship” is normally regarded as a desirable activity and one which the University would like to encourage. Acquisition of grants is normally classified as adjunct to scholarship and research and should be appropriately awarded. In addition to scholarship and the traditional research area, grant activity is often related to and should be considered under service.

3. Service

Faculty members are expected to engage in campus, professional and community service where appropriate. The University exists as an institution and carries on its mission by virtue of faculty involvement in departmental and campus governance, academic and organizational advising, leadership in professional organizations, and sharing of professional time and expertise within the community. Faculty engage in many civic and social activities as good citizens. While all civic activities are noteworthy, all do not necessarily fall within the bounds of faculty achievement. The University includes community service as a major aspect of its mission and appropriate faculty projects should be included in descriptions of achievement. Descriptions of faculty achievements should include those activities in which faculty may employ their professional and intellectual expertise in service to the community. The University desires to understand the universe of faculty achievement rather than seeking information about general public service.

Of course, all faculty do not have opportunities to address community service responsibilities using their profession and intellectual expertise. These activities should not be required of all faculty. Nevertheless, achieving tenure and advancing in rank should represent faculty accomplishments and when faculty perform community services, the University wishes to consider the achievements.

All faculty can undertake service to the University community and each faculty member should assume responsibilities of academic citizenship. These responsibilities include all matters of academic governance, within academic units and within the whole

university. Pursuing the collegial work of committees and task forces should not be borne by few, but undertaken willingly by each member of the faculty. Student organizations, both co-curricular and extra-curricular, require faculty assistance and advisement. At times, service to the academic community may seem onerous, but a healthy collegial community rightfully expects its faculty to assume the tasks of community service.

As with professional growth and development, scholarship, research, and grant activity has an important place under service. A variety of grant opportunities exist which significantly benefit the University community. These include grants for instructional equipment, campus speakers, and enrichment programs for high school students, University students, and KB12 teachers. Such grants should be recognized and considered under professional service activities. The weight and significance of any particular activity will be evaluated in relation to the individual's role in the activity and faculty duties.

4. Professional Renewal

The continued growth and development of the University's faculty depends upon the professional renewal of its committed staff. Therefore, every candidate for promotion and tenure should provide documentation demonstrating a persistent program of professional renewal. The documentation should include a description of short-term goals and activities, long-range plans, and describe steps already completed in the program.

Failing to find sufficient documented evidence of achievement constitutes the sole and sufficient reason for not recommending a candidate for promotion or tenure. Candidates bear the weight both of achievement and documentation.

B. Procedures

Each year all faculty members will be notified through a general announcement regarding the timetable for consideration of promotion recommendations.

To be eligible for consideration for promotion, a faculty member must keep on file an updated comprehensive *curriculum vitae* and supporting documents for review in the academic unit according to procedures established for that academic unit. If the faculty member wishes to do so, he/she may include - as supporting documents - student evaluations of teaching as evidence of readiness for promotion. The faculty member's *vitae* and supporting documents must be updated yearly and received by the Academic Unit Head by December 1. (Format for preparation of *curriculum vitae* is cited in Appendix B of Faculty Handbook.)

The Academic Unit Head will review all materials on file for each eligible faculty member and all those which result from required evaluations by UAM tenure-track peers within the academic unit. On the basis of that review and his/her own professional judgment of the faculty member's qualifications; the Academic Unit Head may forward a recommendation for promotion, accompanied by all documents relative to the candidacy, to the Provost and VCAA by December 15.

After the information has been received by the Provost and VCAA, the Academic Unit Head will inform all faculty members recommended for promotion. Any faculty member who is not recommended for promotion by his or her chairperson or other responsible individual may

appeal in writing by December 18 to have his or her file considered at the next level of administrative review. In this case, the application will be forwarded for consideration with a negative recommendation from the chairperson or other responsible individual.

By the first day of the spring semester, the Provost and VCAA will forward each recommendation and each appeal to a Campus Promotion and Tenure Committee which will make a recommendation to the Provost and VCAA. Each committee will be made up of five faculty members (no Academic Unit Heads), each one holding rank above that presently held by the candidate for promotion. No member of the committee will be from the academic unit of the candidate. The candidate will select two members of the committee, the Academic Unit Head will select two, and the Provost and VCAA will appoint the chairman.

The committee will meet and deliberate, and by January 25, each member of the committee will forward his own unsigned, typewritten recommendation to the Provost and VCAA.

The Provost and VCAA will then review all the materials in the promotion file of the candidate, and by February 1, will forward his/her recommendation to the Chancellor. At the same time that the Provost and VCAA forward his/her recommendation to the Chancellor, he/she will inform the candidate as to the nature of the recommendation. If the recommendation is negative, the candidate may appeal to the Chancellor providing he/she does so in writing by February 5.

The Chancellor will review all materials, recommendations, and supporting documents and forward a recommendation to the President by February 10. An unfavorable decision by the Chancellor may be appealed by the candidate to the President by requesting in writing within (5) days from the time he/she receives notification that the Chancellor is forwarding all materials and recommendations to the President. (See Appendix B for current "Schedule for Promotion and Tenure Recommendations.")

IV. TENURE

A. Criteria

The granting of tenure is a statement that an individual has successfully completed the probationary period and is accepted as a permanent member of the University community. Decisions on tenure will focus on the professional performance of the individual, but will also take into account the staffing needs of the academic unit and the anticipated financial status of the University. To achieve tenure, a faculty member must complete at least a five year probationary period. With the granting of tenure, an individual acquires additional procedural rights, should dismissal charges ever be filed. Only full-time faculty members holding the rank of Assistant Professor or higher may be awarded tenure and every such faculty member must be considered before or during the sixth year of service. The granting of a contract to a faculty member for a seventh consecutive year of tenure-track service automatically awards tenure unless it is a terminal appointment. An initial appointment of less than one year will be considered as a full year of service in determining the maximum number of years in probationary status, except that summer sessions will not be applied in this calculation. Time spent on an off-campus duty assignment or leave-of-absence also does not apply to the probationary period. Each year all faculty will be notified through a general announcement regarding the timetable for tenure consideration.

Up to two years of credit for prior professional experience may be granted at the time of appointment and, in exceptional cases, persons appointed at the rank of Associate Professor, Professor, or Distinguished Professor may be granted immediate tenure. In either case, the initial letter of appointment will indicate if any credit toward the probationary period has been granted.

B. Procedures

Procedures for evaluation of tenure shall be the same as that for promotion, except that all members of the Vice Chancellor's Promotion & Tenure Committee shall be tenured faculty members and hold equivalent or higher rank than the candidate.

V. CONSIDERATION OF ACADEMIC UNIT HEADS

Due to the role of Academic Unit Heads in the above procedures, it is not possible to apply these processes in exactly the same fashion to an Academic Unit Head seeking promotion/tenure. The following is an adaptation for this purpose.

The timetable for notification and decisions will be the same as that of any faculty member with the Provost and VCAA also serving as the Academic Unit Head in this situation. The departmental committee will evaluate the Academic Unit Head according to departmental standards and criteria. The committee will report its findings to the Provost and VCAA who will also notify the candidate.

The Provost and VCAA will convene a University-wide committee which will be composed of five faculty members. The candidate will name three members including one Academic Unit Head and two faculty who are tenured professors. The Provost and VCAA will name two members, one Academic Unit Head and one faculty who is a tenured professor, one of whom will serve as chair. No member of the committee may be from the same academic unit as the candidate and all must be tenured professors. This committee will evaluate the candidate as both a faculty member and as an Academic Unit Head. The process will then proceed in the same manner as it does for Faculty Promotion and Tenure.

VI. DISMISSAL

In implementing Board Policy 405.1 regarding dismissal, the University of Arkansas at Monticello will proceed as follows:

If an informal inquiry is required in accordance with Board Policy 405.1, a subcommittee of faculty members shall be chosen from a panel made up of all tenured faculty members to serve as a three-member informal inquiry committee. The committee shall be constituted as follows: one member selected by the faculty member involved, one member by the faculty member's Academic Unit Head, and one member by the Provost and VCAA. No one from the faculty member's academic unit and no Academic Unit Heads may be selected to serve on the three-person informal inquiry committee. The procedure will then continue as outlined in Board Policy 405.1, page 13, Item 1, Preliminary Proceedings.

If formal proceedings become necessary as determined by Board Policy 405.1, a five-member formal hearing committee shall be selected from a panel made up of all tenured faculty members. The committee shall be constituted as follows: Two members selected by the faculty

member, one each by the faculty member's Academic Unit Head, the Chancellor, and the Provost and VCAA. The procedure will then continue as outlined in Board Policy 405.1, page 15, Item 5, Committee Proceedings.

CHAPTER FOUR - MISCELLANEOUS POLICIES GOVERNING FACULTY SERVICE**I. APPOINTMENT PERIODS**

Faculty are usually appointed for a nine-month period, although faculty and administrative personnel may be appointed for up to a twelve-month period, depending upon the needs of the unit concerned or the nature of the assigned research or administrative work.

The appointment period for nine-month employees is the academic year. 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 may elect to have their annual salaries extended over a twelve-month period.

Social Security payments, group insurance premiums, Federal and State income tax withholdings and payments to retirement systems are deducted from the salary. Each employee is informed of the amounts withheld and for what purposes they are withheld.

Employees may earn additional pay for additional work as outlined in Universitywide Administrative Memoranda 412.1 - Policy on Overload Teaching Assignments and 440.2 - Extra Compensation Policy. See Appendix E.

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 15 percent of the individual's previous nine-month salary. Appointments for other than six hours will be on a prorated basis. Nine-month teaching personnel are not permitted to teach more than six hours in the summer 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 an employee assigned to a full-time research position for the summer may receive a monthly salary of one-ninth of the previous normal nine-month salary.

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.

Notices of appointment are given to all appointed personnel and must be processed and approved by the President before the beginning of the appointment period. Notices of subsequent appointments for a following fiscal year are normally distributed to personnel in May. On occasion when the General Assembly is in session, notices may be later because of the uncertainty of appropriated funds.

II. EMPLOYMENT PERIODS (BOARD POLICY 405.4)**A. Type of Employee**

The following employment periods are established to govern employment with the University of Arkansas on all of its campuses and in all of its programs and activities, effective for and hereby incorporated as a part of all personnel actions for employment to perform personal services during the period beginning July 1, 1983, and/or thereafter:

1. Administrative Employees

The President of the University shall serve at the pleasure of the Board of Trustees. The Vice Presidents, members of the System staff, and the Chancellors shall serve at the pleasure of the President. Vice Chancellors, Associate Vice Chancellors, and Assistant Vice Chancellors shall serve at the pleasure of their appropriate Chancellors. Termination of employment in such positions shall be effected by a notice, in writing, of thirty days in advance thereof.

2. Faculty Employees

- a. Faculty members who have been awarded tenure, heretofore or hereafter, have a right to continuous employment except for dismissal for cause (according to the procedures in Section IV.C. of Board Policy 405.1), or for termination in the event of demonstrably *bona fide* financial exigency, reduction or elimination of programs, retirement, or resignation.
- b. Faculty members in tenure-track positions (Assistant Professor, Associate Professor, Professor, Distinguished Professor, and University Professor) who have not yet been awarded tenure, heretofore or hereafter, may be terminated effective at the end of a year by a written notice, given in advance, according to the following schedule of time: (a) in the first year of his/her employment, not less than 90 days before the employment ceases; (b) in the second year of his/her employment, not less than 180 days before the employment ceases; and (c) not later than twelve months before the expiration of the employment after the employment has continued for two or more consecutive years. "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). For purposes of (c) above, the employment for the last year shall be for an academic or fiscal year according to the employment period previously served by the individual.

The termination notice periods are those specified under IV.B., "Non-Reappointment," in Board Policy 405.1. In addition to termination as outlined here, these employees may be dismissed for cause, or terminated in the event of demonstrably *bona fide* financial exigency, reduction or elimination of programs, retirement, or resignation, pursuant to Board Policy 405.1.

- c. Faculty members and other academic employees in positions for which tenure may not be awarded including part-time faculty in the ranks of Assistant Professor, Associate Professor, Professor, Distinguished Professor, and University Professor; clinical, research, adjunct, and visiting faculty; Research Associates and Research Assistants; Graduate Associates and Graduate Assistants; Instructors (appointed after July 1,

1980); Assistant Instructors, and Lecturers may be terminated at any time, or dismissed for cause under the procedures of Board Policy 405.1. Termination is effected through the giving of a notice, in writing, of that action at least sixty days in advance of the date the employment is to cease.

3. Staff Employees

All staff employees of the University, whether full-time, part-time, extra help, or otherwise, may be terminated at any time or be dismissed for cause under University procedures. Termination is effected through the giving of a notice, in writing, of that action at least thirty days in advance of the date the employment is to cease.

4. Student and Hourly Employees

Students and hourly employees are hired to work at the pleasure of the University and, therefore, may be terminated at any time without notice.

B. Procedure to Terminate Employment

An employee's copy of the Personnel Action Form (PAF) shall be delivered to each employee to indicate title, salary amount, and the fact of current employment with the University subject to this Board Policy on Employment Periods. It is suggested that a copy of this Policy be attached to the employee's copy. The term "appointment" is defined to mean the act of hiring, and shall not indicate the duration of the period for which one may be employed. Existing Board and University policies and procedures, faculty handbooks, staff handbooks, etc., are hereby conformed to that definition where duration of employment is the intended subject.

It is the sense of the Board of Trustees that the establishment, in one Board Policy and procedure, of the periods of employment for all University employees will serve to clarify rights and obligations of such employees, reduce administrative time, effort, and expense in processing unnecessary personnel action forms which are duplicative in nature, make employment periods more flexible so that the expense of personal services may be more responsive to financial resources available to the University at any one time, and will assist in the proper management of the University.

III. STANDARD WORK LOAD

The basic element of faculty work load is a work unit, which is equivalent to one class hour (50 minutes) per week for a semester or which is equivalent to three and one-third non-classroom laboratory hours of work per week for a semester. Included for each of these class hours is time for class preparation, grading, office hours, and other work with students outside class.

The course load for full-time faculty holding the rank of instructor is 15 semester credit hours. The course load for full-time faculty holding the rank of Assistant Professor or above is 12 semester credit hours. The course load for full-time faculty teaching only graduate-level courses is 9 semester credit hours. (See UAM Operating Procedure 420.1 Teaching Load for Faculty.)

Individual academic units can recommend for approval by the Provost and Vice Chancellor for Academic Affairs equivalent assignments for calculating work load. It should be understood that the typical work load will vary considerably.

Faculty may be assigned to daytime or nighttime teaching and on-campus or off-campus teaching.

Full-time faculty members are expected, as part of their University service, to advise students, serve on committees, and perform academically-related public service. Duties for full-time faculty also include individual research, scholarly or creative endeavors, and professional travel and development, as well as the usual instructional, research, service, and administrative duties for which work units can be assigned.

Professional staff with academic qualifications may be assigned teaching duties. In such cases, the individual will receive a split appointment of Instructor/Staff. The workload for these split appointments will be prorated.

Revised by Executive Council: February 3, 2009

IV. SUMMER TEACHING POLICY

Summer employment of faculty is not guaranteed. Course offerings in summer school are based on student need and on the prospect of sufficient enrollment. Therefore, summer employment of faculty is based entirely on student demand for specific courses.

Each academic unit must determine its program needs in selecting Summer School courses. Once courses have been selected, the most qualified faculty members should be selected to teach the courses. In situations where there are equally qualified faculty members for a course, the faculty should be rotated. In addition, in order to be selected to teach Summer School, the faculty member must have received meritorious or outstanding on the last evaluation.

The minimum class enrollment for summer classes is ten students for undergraduate classes and six students for graduate classes. Exception to the minimum class size policy may be requested by the academic unit head and approved by the Provost and Vice Chancellor for Academic Affairs.

V. EXTRA COMPENSATION AND OVERLOAD

A University employee is eligible for extra compensation for additional tasks over and above regularly assigned duties, provided he/she is carrying a normal load and the extra duties do not interfere with regular duties. State and federal requirements must also be observed. (See Universitywide Administrative Memorandum 440.2 and 412.1 for details and forms to be used. Appendix E.)

VI. OUTSIDE EMPLOYMENT OF FACULTY AND STAFF MEMBERS FOR COMPENSATION

While emphasizing the fact that full-time faculty and staff members of the University are obligated to devote their working time and efforts primarily to University duties, the University recognizes that a limited amount of outside work for private compensation may be advantageous to all concerned. Such persons are therefore encouraged to engage in outside employment which will affirmatively contribute to their professional advancement or correlate usefully with their University work. (BOARD POLICY 450.1)

This employment should not interfere in any substantial way with the employee's University duties nor conflict with his or her scheduled University assignments. Written approval

from the appropriate unit head and the Provost and Vice Chancellor for Academic Affairs must be obtained in advance of such outside employment.

Each dean or similar officer shall keep records on outside employment by personnel in his or her college, and such records shall be reviewed periodically by the Provost and Vice Chancellor for Academic Affairs. The employee shall always make it clear that the outside employment is his or her own responsibility and that in it he or she does not act as an agent or representative of the University.

University property or facilities shall not be used except with permission of the employee's unit head or other superior, and the payment of appropriate fees may be required.

Forms to be used to report outside activities are available in the Office of Academic Affairs. Forms to request the use of campus facilities are available in the Office of Student Affairs.

VII. ANNUAL FACULTY EVALUATION

Full-time faculty members, administrators, and staff are evaluated annually. Faculty members are evaluated by their students and their unit heads. The purpose of the evaluation is to improve teaching effectiveness and other aspects of job performance and to support decisions concerned with promotion, tenure, and merit pay. By December 1 of each year, faculty members are required to submit to their unit head all materials to be considered in their evaluation (results of the student evaluation may or may not be submitted). Soon after the evaluation is completed, faculty members are required to cooperate with their unit heads toward a written plan of professional development. The extent to which faculty members follow through on their plans of action for improvement will impact on making decisions for promotion, tenure, and merit pay. (See Appendix C for Evaluation Procedure and Standard Forms.)

VIII. ACADEMIC EMPLOYEE GRIEVANCE PROCEDURE (ADM. MEMO 460.1)

It is a declared objective of the University that an individual academic employee may have prompt and informal resolution of his or her personal employment grievances and that this be accomplished under orderly procedures.

A. Definitions

1. An "academic employee" who may process a grievance under this procedure shall include any University employee holding the faculty rank of Instructor, Assistant Professor, Associate Professor, Professor, Distinguished Professor; any Graduate Assistant or Lecturer; and any University employee who performs duties, full or part-time, directly related to the instructional and/or research functions of the University.
2. A "grievance" means a dispute, concerning terms and conditions of the employment, arising from any administrative decisions which the academic employee claims is in violation of rights under, or a failure to apply, established University personnel regulations, policies, or practices, or which results from a misinterpretation or misapplication thereof. Not included are matters of non-reappointment, dismissal, or award of tenure decisions for which other policies and procedures exist. "Grievance"

under this procedure shall include all alleged violations of the affirmative action plans of the University.

3. A “decision” means a determination that the grievance issue or issues were, or were not, in violation of rights under existing personnel regulations, policies or practices of the University. An analysis of the issues and the reasons for the determinations shall be included in the decision.

B. Application

Other procedures afford opportunities for review and revision of existing employment regulations, policies and practices against which the individual grievances are to be assessed; therefore, the within procedure confers no authority to include with a grievance, any amendment, deletion, addition to, or modification in or to existing University personnel regulations, policies, and practices as such.

C. Procedure

An academic employee having a complaint concerning terms and conditions of the employment as described in (b) above may present this matter to and discuss it with his or her immediate supervisor. Such presentation and discussion shall be entirely informal. The supervisor shall attempt to resolve the complaint. A complaint may, but need not, become a grievance.

D. Grievance Steps

- **Step 1 -- Academic Unit:**

Where his or her complaint is not satisfactorily resolved within five (5) working days following the date presented, an academic employee has the right to reduce the complaint to writing as a grievance and to forward it to the Provost and Vice Chancellor for Academic Affairs and the Human Relations Officer. The Human Relations Officer will handle all grievances charging discrimination through the affirmative action program and federal laws and regulations. The Provost and Vice Chancellor for Academic Affairs will investigate all other written grievances. The appropriate administrative officer will accept responsibility for conducting such investigation as may be needed, and issue a decision within ten (10) working days following its receipt. Copies of the decision shall be furnished to the academic employee and the immediate supervisor.

- **Step 2 -- Campus Administration:**

The academic employee or the immediate supervisor may appeal the Step 1 decision to the Chancellor by forwarding his or her grievance in writing, together with a copy of the Step 1 decision, to such official within three (3) working days following its receipt. Upon receipt, the official shall, within five (5) working days ask the Faculty Equity and Grievance Committee to investigate the matter and make recommendation for its solution. The Committee shall have access to witnesses and records, may take sworn testimony, and make a record by taping the hearing if it or the academic employee or immediate superior so desires. Its charge is to develop all

pertinent factual information through informal inquiry in which fair procedures are used. Its written recommendations to the Chancellor shall be received within ten (10) days following receipt of the grievance. The decision of the Chancellor shall be made in writing, with copies to the academic employee, the Provost and Vice Chancellor for Academic Affairs, the Human Relations Officer, and the immediate supervisor, within five (5) days thereafter.

- **Step 3 -- President:**

If the grievance is not satisfactorily resolved through Step 2, the academic employee may submit the Step 2 decision, with all relevant materials, to the President of the University. The President shall promptly decide the matter and his/her decision shall be final pursuant to his delegated authority from the Board of Trustees. His/her decision shall be forwarded in writing to all interested parties.

IX. GARNISHMENT AND SALARY LIENS

Wages and other amounts due an employee from the University are legally subject to seizure by a court order of garnishment or by a governmental lien. The University is required to comply with an order of garnishment only when one is issued after a legal judgment has been entered against the employee-debtor. The University must also honor governmental liens such as those arising from claims for unpaid taxes and from bankruptcy claims.

The University has a concern when a garnishment or salary lien is issued against its employee and served on the University. Upon receipt of two orders of garnishment, two salary liens, or a combination of one of each type of seizure against the salary of a University employee during any period of twelve months dating from the receipt of the first such order, grounds shall be deemed to exist for termination of such employee according to regular University procedures.

(See Administrative Memorandum 440.9 for details. Appendix E).

X. LEAVE POLICIES

A. Vacation Leave

Academic employees on nine-month appointments are not granted separate vacation periods with pay, as they are free of classroom duties during breaks at Christmas, Thanksgiving, and midway through the spring semester. The following information concerning annual leave is taken from Board Policy 420.1 and Adm. Memo. 435.2.

Employees whose titles are listed in the appropriation acts as twelve-month, non-classified positions, except graduate assistants and graduate associates, will receive 22.5 days of paid vacation from the onset of employment. While administrative duties cannot be limited to a five-day, forty-hour week, for purposes of annual leave the normal work week shall be considered Monday through Friday.

All other regular twelve-month full-time employees and permanent, part-time employees working in excess of 1,000 hours per year are eligible for vacation as follows:

1. For the first three years of employment, the employee is eligible for twelve working days of paid vacation per year.
2. After three years of service and until completion of the fifth year of service, the employee is eligible for 15 days of paid vacation per year.
3. After five years of service and until completion of the 12th year of service, the employee is eligible for 18 working days of paid vacation per year.
4. After twelve years of service and until completion of the 20th year of service, the employee is eligible for 21 working days of paid vacation per year.
5. Upon completion of the twentieth year of service, the employee earns 22.5 days of paid vacation per year.

A vacation must be taken within 12 months after the close of the calendar year in which it is earned. An exception may be made when a vacation is postponed for the convenience of the University.

Vacation benefits are granted to all non-classified, non-student employees, and part-time appointed employees in proportion to the time worked, provided the employee works half-time or more.

An employee whose appointment is scheduled to be changed from a 12-month basis to a nine-month basis must take all accrued, unused vacation before the end of the 12-month appointment. An appointment shall not be extended for the purpose of paying an employee for unused vacation, and neither shall lump-sum terminal payment be made unless an employee terminates employment with the University.

Annual leave is cumulative; however, no employee may have in excess of 30 days on December 31 of each year. During the calendar year accrued leave may exceed 30 days, but those days in excess of 30 will be lost if they are not used before December 31 of each year. Accrued annual leave may be requested by an employee at any time. The appropriate supervisor will grant the request when it will least interfere with the efficient operation of the academic unit.

Annual leave may not be accumulated while an employee is on leave without pay.

Upon termination, resignation, retirement, death, or other action by which a person ceases to be an active employee of the University, the amount due the employee or his/her estate from accrued annual leave or holiday leave shall be included in the final pay to the employee. No employee receiving such additional compensation shall return to University employment until the number of days for which he/she received additional compensation has expired.

B. Holidays

All state employees are granted eleven paid holidays. The schedule for this campus is issued each fiscal year as Board Policy 415.1 and Administrative Memorandum 435.1. A current copy of these policies may be found in any of the following offices: President, Vice Presidents, Chancellor, Vice Chancellors, Dean or Director, Personnel, and Library.

C. Off-Campus Duty Assignment (Adm. Memo. 435.4)

An off-campus duty assignment is an appointment, usually away from the campus, which allows eligible faculty and administrators to pursue an approved project while being relieved of teaching and administrative duties. The purpose is to enhance the individual's value to the institution.

Faculty members (including research faculty and extension personnel) and non-classified administrators who have completed six years of continuous full-time employment with the University or who have completed six years of continuous full-time service since a previous off-campus duty assignment may apply for an off-campus duty assignment. The application, prepared in accordance with campus regulations, must describe the project which the applicant wishes to undertake, where it is to be done, and the anticipated value to the individual and to the University. To be approved, a proposed assignment must be consistent with the needs, objectives, and mission of the campus.

An off-campus duty assignment is a privilege, not a right. A limited number may be approved by the Board of Trustees each year upon the recommendation of the Chancellor and the President. Assignments should not exceed one semester (or six months for employees on twelve-month appointments) at full salary, or two semesters (or one year for those on twelve-month appointments) at half salary. The University assumes no financial responsibility beyond the salary stated above.

Within sixty days after returning to the campus from an off-campus duty assignment, the faculty member or administrator must submit a written report of his or her activities and accomplishments during the off-campus duty assignment to the chairperson of his/her academic unit, the dean of the college, the Provost and Vice Chancellor for Academic Affairs, the Chancellor, and the President.

In accepting an off-campus duty assignment, the recipient agrees to return to the University for at least one year following the end of the assignment.

D. Leave of Absence Without Pay (Adm. Memo. 435.2, Board Policy 420.1)

Leave of absence without pay may be granted to faculty and staff for the following reasons:

1. Extended absences in the interest of the University.
2. Necessary absences due to illness or for personal reasons when such absences extend beyond available earned vacation or sick leave.

UAM will consider additional unpaid leave as a reasonable accommodation for qualified individuals with disabilities on a case by case basis. Leaves requested for reasons other than qualified disabilities must be approved by the President and will not be granted for a period in excess of one year. Leave of absence will be granted with the assurance of reinstatement to the same or comparable position unless circumstances make it clearly impractical. Vacation time and sick leave will not accrue during leaves of absence without pay; however, earned sick leave credit may be carried over.

When on leave of absence without pay for the purpose of study, research, or because of pregnancy or illness, an employee may continue to participate in certain staff benefits related to insurance, provided he/she has indicated an intent to return to the University on a permanent basis and has been participating in the plan up to the time the leave becomes effective. The total cost of participation while on leave without pay must be borne by the employee.

All hours of accrued vacation time must be expended before an employee will be granted a request for leave without pay. In no instance is leave granted automatically, but must be requested by the employee. Before a leave without pay is granted, the employee's service record and circumstances requiring the leave should be carefully examined.

E. Sick Leave (Board Policy 420.1)

All full-time appointed employees earn sick leave credit at the rate of 8 hours per month with a maximum of 960 hours accrual (120 days). Sick leave accrues only when an employee is in a paid status and does not accrue while an employee is on leave without pay. Paid sick leave is not granted as vacation but is permissible only when illness or injury to the employee causes absence from his/her work or if conditions require appointment with a physician, dentist, optometrist, chiropractor, or osteopath. Sick leave may also be granted to employees due to the death or serious illness of a member of the employee's immediate family. Immediate family shall mean the father, mother, sister, brother, husband, wife, child, grandparents, in-laws, or any individual acting as a parent or guardian of an employee.

Sick leave applies only to a period when the employee is in an appointed status. If sick leave begins during the spring semester it shall not be extended into the summer session, but, if necessary, sick leave may be extended into or begun in the fall semester if the individual has received a Notice of Appointment for the fall semester, even though the illness may begin in the summer when the individual is not in appointed status for the summer.

Employees may continue to work during pregnancy provided they are able to do their normal jobs. Since pregnancy is considered as any temporary illness, an employee who is not able to work because of pregnancy may use accumulated sick leave and vacation, and when such accumulations are exhausted she will be granted a leave of absence without pay. Upon return from pregnancy leave, the employee will be given the same or comparable position to the one she occupied prior to the leave. The employee is expected to give her supervisor as much notice as possible prior to beginning maternity leave and at least two weeks notice prior to returning to work. Both notices should be in writing. An employee is expected to return to work after a medical release from her physician, which is usually around six weeks, unless the employee has requested Family and Medical Leave, which is a maximum of twelve (12) weeks.

F. Family and Medical Leave

The Family and Medical Leave Act of 1993 (FMLA) requires the University to provide qualified employees up to 12 weeks unpaid leave per year for the birth or adoption of a child, to care for a spouse or an immediate family member with a serious health condition, or when unable to work because of a serious health condition. The University is required to maintain any pre-existing health coverage during the leave period and, once the leave period is concluded, to reinstate the employee to the same or an equivalent job. Contact the Personnel Office for the specifics of the University's policy.

G. Catastrophic Leave (Acts 91 and 169 of 1991)

The University of Arkansas at Monticello has established a catastrophic leave bank program. This is a pool of accrued sick and annual leave, donated by classified and non-classified staff employees, for use by employees during a catastrophic illness. Subject to policies developed by the Personnel Office, the specifics of the University of Arkansas at Monticello Catastrophic Leave Bank Program are:

1. **Catastrophic Illness:** A medical condition of an employee as certified by a physician which requires an employee's absence from duty for a prolonged period of time and which results in a substantial loss of income for the employee because of the exhaustion of all earned sick, annual, holiday, and compensatory leave time.
2. **Eligibility:** The employee must be a full-time (100% appointed) staff employee to participate in the Catastrophic Leave Bank Program. To receive benefits under the program, an employee must have at least two years of service with the state and been off work for at least 30 days. All accrued sick, vacation, holiday, and compensatory time must be exhausted and, as a result, the employee will suffer a substantial loss of income due to a medical condition. Injuries that are covered by Workers' Compensation are not covered by the program until such time as all benefits have been exhausted. Employees who have been disciplined for any leave abuse during the previous two years are ineligible to participate in the Catastrophic Leave Bank Program.

UNIVERSITY OF ARKANSAS AT MONTICELLO CATASTROPHIC FACULTY LEAVE BANK PROGRAM

Adopted March 27, 2006

I. PURPOSE

This policy and the accompanying procedures establish a Catastrophic Faculty Leave Bank Program for the exclusive use of the appointed, regular, full-time, and benefits-eligible Faculty Employees of the University of Arkansas at Monticello (UAM).

II. POLICY

It shall be the policy of the University of Arkansas at Monticello (UAM) to permit eligible Faculty Employees to voluntarily donate eligible accrued sick (annual leave if applicable) to the Catastrophic Faculty Leave Bank Program from which aforementioned employees may request to receive Catastrophic Leave. The Catastrophic Faculty Leave Bank Program shall assist eligible University Faculty Employees through medical emergencies, injuries, and illnesses upon the exhaustion of all earned sick, holiday, and annual leave (if authorized). The Program shall be administered by the Catastrophic Faculty Leave Committee of the University. The

administration of the Catastrophic Faculty Leave Bank Program shall be in accordance with the guidelines established by the UAM Executive Council within the laws of the State of Arkansas.

III. DEFINITIONS

Catastrophic Faculty Leave Bank Program is a program approved, maintained, and administered by the University of Arkansas at Monticello.

Catastrophic Faculty Leave Bank is a pool of accrued sick (annual if applicable) leave voluntarily donated by Faculty Employees which may be approved by the University for use by other Faculty Employees.

Catastrophic Faculty Leave Committee is a committee which reviews Leave Donor requests, reviews applications from faculty employees for Catastrophic Leave and makes recommendations to the UAM Executive Council relating to such leave.

Catastrophic Illness is a medical condition certified by a physician of a benefits-eligible, full-time Faculty Employee that requires an employee's absence from duty for a Prolonged Period of Time and which, except for the Catastrophic Faculty Leave Program, would result in a substantial loss of income to the employee because of the exhaustion of all accrued leave time. Catastrophic Illness includes a medical condition of a Qualifying Family Member of the employee.

Catastrophic Leave is paid leave which is transferred to a leave recipient from the University's Catastrophic Faculty Leave Bank.

Executive Council consists of the Chancellor, Provost, and Vice Chancellors of the University of Arkansas at Monticello.

Faculty Employee(s) is a person or persons who are regularly appointed in a benefits-eligible academic faculty position by the University of Arkansas at Monticello and who are compensated on a full-time basis. These positions include employees paid from positions including professors, associate professors, assistant professors, instructors, workforce ed instructors, et. al. whose primary activity consists of instruction of students, conducting research, or public service. This excludes administrators and other professionals such as librarians who are eligible for the non-faculty catastrophic leave program.

Leave Donor is an eligible Faculty Employee whose voluntary written request to donate eligible accrued sick or annual leave to the UAM Catastrophic Faculty Leave Bank has been reviewed and accepted by the Catastrophic Faculty Leave Committee.

Leave Recipient is a current Faculty Employee whose request has been reviewed by the Catastrophic Faculty Leave Committee and approved by the UAM Executive Council to receive Catastrophic Leave from the University's Catastrophic Faculty Leave Bank.

Medical Condition is the Catastrophic Illness of a Faculty Employee or the illness of a Qualifying Family Member where the employee is unable to perform his/her job duties. Normal maternity leave is not catastrophic in nature and, therefore, is not a medical condition that qualifies for Catastrophic Illness.

Prolonged Period of Time is a minimum of thirty (30) working days in which a medical condition prevents the Faculty Member from performing his/her duties.

Qualifying Family Member is a spouse, son or daughter, or parent of the employee as defined in the State Office of Personnel Management Family and Medical Leave Act definitions.

IV. CATASTROPHIC FACULTY LEAVE COMMITTEE

The Catastrophic Leave Committee shall be comprised of five members. Committee members, including the Chairman, shall be appointed by the Chancellor with staggered terms and shall serve a length of time designated by the Chancellor. Committee members shall represent a cross-section of the faculty ranks of the University. A designated Personnel Office representative should serve as Secretary and be an ex officio (non-voting) member of the Committee. Recommendations shall be based on the majority vote of the Committee.

The Catastrophic Faculty Leave Committee shall:

- A. Determine if eligible Faculty Employees have met the requirements for Catastrophic Leave as listed in Section V, “Determine Eligibility of Catastrophic Faculty Leave Requests.”
- B. Review the Donor Application Form documents and determine if the leave is eligible to be received by the University from the Leave Donor.
- C. Review and make recommendations to the UAM Executive Council regarding written requests from University Faculty Employees to receive Catastrophic Leave from the UAM Catastrophic Faculty Leave Bank.
- D. Ensure the accuracy and complete documentation of Catastrophic Leave requests and/or donation forms and records which provide:
 1. The hours of leave donated by each Faculty Employee.
 2. The hours of Catastrophic Leave awarded to each recipient.
 3. A monthly report, which includes, at a minimum, the names of Faculty Employees, the number of donated/received days, and balance of days remaining in the Catastrophic Faculty Leave Bank.
 4. Monitoring of records to prevent a negative balance in the Catastrophic Faculty Leave Bank.
 5. The use of State Office of Personnel Management form for the Catastrophic Faculty Leave Bank Program.
 6. Any other data as required by the UAM Executive Council.
- E. Ensure the provisions of Section VI “Catastrophic Faculty Leave Program Provisions and Administration” are followed.

V. DETERMINE ELIGIBILITY OF CATASTROPHIC FACULTY LEAVE REQUESTS

The Catastrophic Faculty Leave Committee shall adhere to the following rules and guidelines when reviewing each Catastrophic Leave request:

- A. The Faculty Employee must be an eligible employee as determined by Section III, DEFINITIONS, (excluding any leave without pay due to his/her illness).
- B. The Faculty Employee must have been employed by the University of Arkansas at Monticello in a full-time regular benefits-eligible faculty position for two (2) continuous years.
- C. The Faculty Employee must not have been disciplined for any leave abuse during the last two (2) years of employment.
- D. No Faculty Employee shall be eligible for approved Catastrophic Leave in excess of six continuous months unless it can be demonstrated that the employee has been denied disability, retirement, or Social Security benefits. If the employee documents and receives Catastrophic Leave due to the denial of disability, retirement, or Social Security benefits, the Catastrophic Faculty Leave Committee will review any approvals at the end of each quarter (90 days) of the calendar year to make appropriate recommendations to the Executive Council.
- E. If the illness or injury is covered by workers' compensation, the compensation based on Catastrophic Leave when combined with the weekly workers' compensation benefit, shall not exceed the compensation received by the Faculty Employee at the onset of the illness or injury.
- F. No Faculty Employee shall be approved for Catastrophic Leave unless the employee has provided an acceptable medical certificate from a physician supporting the continued absence, and sets forth that the employees are and will continue to be unable to perform their duties due to a Catastrophic Illness or from the condition of a Qualifying Family Member. Information relative to the Faculty Employee's assigned duties, such as a functional job description, may be made available to the physician.
- G. In no case shall Catastrophic Leave be granted beyond the date the physician certifies that the Faculty Employee is able to return to work.
- H. Catastrophic Leave which would result in a negative balance in the University's Catastrophic Faculty Leave Bank shall not be approved.
- I. No employee shall be approved for Catastrophic Leave unless the faculty employee is or is reasonably expected to be on leave-without-pay status. Catastrophic Leave shall not be awarded retroactively.
- J. Applications for Catastrophic Leave shall be reviewed on a first-filed, first-considered basis. If a zero balance exists in the Catastrophic Faculty Leave Bank, no leave will be granted.

VI. CATASTROPHIC FACULTY LEAVE PROGRAM PROVISIONS AND ADMINISTRATION

- A. Accrued leave may only be donated to the Catastrophic Faculty Leave Program in one-hour increments. Similarly, Catastrophic Leave may be granted only in one-hour increments.
- B. An eligible Faculty Employee can contribute a maximum of forty (40) hours per calendar year to the Catastrophic Leave Bank Program. This provision also applies to terminating and/or retiring employees.
- C. Accrued leave may only be donated to the Catastrophic Faculty Leave Bank from November 16 through December 31 of each calendar year. Retiring or terminating Faculty Employees can donate during their last thirty (30) days of employment with UAM.

The University will designate an initial timeframe for Leave Donor hours near the beginning of the plan's implementation.

- D. A Faculty Employee shall not be allowed to donate leave to the University's Catastrophic Faculty Leave Program if such donation will reduce his/her combined accrued sick leave and annual leave balance to less than eighty (80) hours. Retiring or terminating employees are not required to maintain the (80)-hour leave balance but are limited to the maximum forty hours per calendar year.
- E. After annual and/or sick leave is donated to the Catastrophic Faculty Leave Bank, no employee shall have donated leave restored (returned) to his/her accrued annual or sick leave balance.
- F. Only eligible Faculty Employees of UAM may participate in the Catastrophic Faculty Leave Bank Program established by and approved by the University.
- G. Recommendations by the Catastrophic Faculty Leave Committee shall be presented to the UAM Executive Council which will make the final decision regarding requests for Catastrophic Leave.
- H. Employees on Catastrophic Leave will continue to accrue leave in accordance with existing leave policies and will receive normal University benefits such as contributions to insurance, retirement, etc.
- I. Faculty employees on Catastrophic Leave will continue to draw their normal rate of pay (excluding overloads, summer salary, etc.).
- J. Any leave earned while a faculty employee is on Catastrophic Faculty Leave shall, as a condition of voluntary participation in the program, be assigned to the Catastrophic Faculty Leave Bank, and any restrictions concerning the maintenance of minimum leave balances shall not apply to such assignment.
- K. If a Faculty Employee fails to report to work promptly at the expiration of the period of approved Catastrophic Leave, the Faculty Employee may be subject to disciplinary

action, up to and including dismissal. In extenuating circumstances and with sufficient notification, along with the supervising Executive Council member's approval, the University may grant leave-without-pay status to an employee prior to or after the expiration of Catastrophic Leave.

- L. In the event a faculty employee on Catastrophic Leave is terminated, retires, or returns to work prior to the expiration of previously approved Catastrophic Leave, all unused Catastrophic Leave shall be returned to the Catastrophic Leave Bank. When it is found to be in the best interest of the University and with the supervising Executive Council members' approval, an employee may work part-time during the catastrophic leave period without relinquishing the balance of the previously approved Catastrophic Leave. In no case, however, can the Catastrophic Leave extend past the return-to-work date certified by the employee's physician.

Justification for this status, including the Executive Council members' approval must be immediately provided to the UAM Personnel Office by the Faculty Employee's immediate supervisor.

- M. Any changes in the UAM Catastrophic Faculty Leave Bank Program policies, procedures, or rules shall be approved by UAM Executive Council prior to implementation.
- N. The Catastrophic Faculty Leave Bank Program does not create any expectation or promise of term or continued employment.
- O. The decision of the UAM Executive Council shall be final and binding.
- P. This Program and its records are subject to audit by the University and the Division of Legislative Audit.
- Q. A Faculty Employee cannot donate or restrict his/her leave to a specific employee.

VII. PROHIBITION OF COERCION

No employee of the University of Arkansas at Monticello shall directly or indirectly intimidate, threaten, coerce, or attempt to intimidate, threaten, or coerce any other employee for the purpose of interfering with any such faculty employee with respect to donating, receiving, or using annual or sick leave. Any such instance shall be described and reported in writing to the UAM Executive Council. All written reports of such instances shall be investigated thoroughly and appropriate disciplinary action shall be taken.

VIII. SUPPLYING FALSE INFORMATION AND/OR ABUSE OF CATASTROPHIC LEAVE

- A. Any employee who knowingly and/or purposefully provides false information to the Catastrophic Faculty Leave Committee in an attempt to gain approval of Catastrophic Leave time may receive disciplinary action up to and including dismissal.
- B. Any employee who knowingly abuses the use of approved Catastrophic Leave time for the purpose of monetary gain, recreational pleasures, or any such actions that are deemed

contrary to the basic intent of the Catastrophic Leave Bank Program may receive disciplinary action up to and including dismissal.

H. Absence from Work

A position on the teaching or research staff of the University is considered to be a full-time undertaking, unless it is specifically designated as part-time. While it is recognized that a person's teaching or research functions cannot always be confined to an exact schedule of clock hours, each person is expected to perform adequately the duties assigned to him or her. Any departure from a work schedule normal for the tasks assigned should receive approval from the appropriate unit head and the Provost and Vice Chancellor for Academic Affairs in advance.

Whenever unforeseen circumstances make it necessary for a teacher or research worker to be absent from duties, he/she should notify the appropriate unit head and the Provost and Vice Chancellor for Academic Affairs immediately, making clear the reason for the absence.

State law requires the University Administration to keep on file a record of the number of days each faculty and staff member was unable, or failed, to keep his or her assigned schedule of work and the reasons therefore, whether for reasons of health, unexpected or emergency circumstances, or performance of off-campus tasks in the interest of University affairs.

Faculty and staff members are called upon at appropriate intervals to report these absences, if any.

I. Attendance at Professional Meetings

Members of the teaching, research, administrative, and extension staffs are encouraged to attend professional meetings, as such attendance is deemed beneficial to both the individual and the University. Brief leaves from official duties will be granted for attendance at such meetings when circumstances permit, and the University will reimburse the individual for all or a part of the travel expenses when travel funds are available for such purposes and to the extent allowed by University travel regulations. Applications for leave and travel allowance for attendance at professional meetings must be approved in advance by the appropriate administrative personnel.

J. Military Leave (Board Policy 420.1)

Twelve-month employees who are members of the National Guard or any of the Reserve branches of the Armed Forces of the United States shall be granted leave at the rate of fifteen (15) days per calendar year, plus necessary travel time for annual training requirements. To the extent this leave is not used in a calendar year, it will accumulate for use in the succeeding calendar year until it totals fifteen (15) days at the beginning of a calendar year. Such leave shall be granted without loss of pay and in addition to regular vacation time. Nine-month academic and administrative personnel are expected to take military leave during the three months they are not under contract to the University. Each employee who requests military leave shall furnish a copy of his/her orders to the appropriate Vice President or Vice Chancellor.

An employee who is drafted or called to active duty in the Armed Forces of the United States or who volunteers for military service shall be placed on extended military leave without pay and upon application within 90 days after the effective date of his/her release from active duty shall be reinstated to the position vacated or to an equivalent position at no loss of seniority

or any of the other benefits and privileges of employment. An employee who enlists or reenlists for a second consecutive tour of military duty shall forfeit his/her reemployment rights.

Military personnel called to duty in emergencies by the Governor or by the President of the United States shall be granted leave with pay not to exceed 30 working days after which leave without pay will be granted. This leave shall be granted in addition to regular time.

K. Court and Jury Leave (Board Policy 420.1)

Any employee serving as a witness, juror, or party litigant shall be entitled to regular University compensation in addition to any fees paid by the Court for such services and such absences shall not be counted as annual leave.

In cases where service as a witness can be handled by having the involved attorney take a deposition or statement, it is preferred. Depositions or statements which involve the University may be taken during duty hours. All others should be handled as off-duty time.

Employees who are accepted by the Court as expert witnesses and paid a fee in excess of the normal witness fee shall take annual leave for the time required for such testimony.

Where service on a jury would substantially interfere with the execution of the University work schedule, the chief administrative officer of the campus may petition the judge in writing for exemption from service. However, if exemption is denied or if no response is received prior to the date jury duty is to begin, the individual must report for jury duty.

L. Vacation Leave for Graduate Study (Board Policy 402.1)

Vacation leave for graduate study may be granted to otherwise eligible employees under the following terms:

1. Accrued vacation with pay may, if used for graduate study, be accumulated for two calendar years preceding the date of the leave if it is used by January 1 of the third year.
2. Permission to carry over such credit must be requested in writing by the employee and approved by the President in advance of the commencement of vacation accrual.

The President may approve a modified application of the regulation where circumstances warrant not to exceed the earned vacation allowance for two years.

M. Children's Education Activity Leave (Act 1028 of 2007)

The purpose of this leave is to allow an employee with a child or serving in the legal capacity as a parent an opportunity to participate in their child's educational activities by granting eight (8) hours of children's educational activity leave per calendar year. This applies to any full-time state employee who has a child enrolled in kindergarten through grade twelve (pre K-12) involved in an "Educational Activity" which is any school-sponsored activity.

XI. FRINGE BENEFITS

The University provides numerous benefits for its employees: Social Security, Unemployment, Workers' Compensation, Basic Life Insurance (equal to 1 time the employee's annual salary, with the restriction of up to \$50,000), and Basic Long-Term Disability (with the restriction of up to a salary of \$20,000).

Optional benefits of major medical and dental insurance are offered with the cost being shared by both the University and the employee. Other optional insurance plans which are paid entirely by the employee are: optional life, optional long-term disability, and accidental death and dismemberment insurance.

All eligible employees are required to participate in a retirement plan such as TIAA-CREF, Fidelity Investments, Arkansas Public Employee Retirement System (APERS), or the Arkansas Teacher Retirement System (with at least five years' previous service).

Please contact the Personnel Office for complete details on any of the above-mentioned benefits.

XII. POLICY ON PATENTS AND INVENTIONS

The use of inventions and discoveries made by faculty, staff, and students in research work as a part of their University duties shall be controlled by the University. A Universitywide committee is charged with the responsibility to determine the amount of University resources to be used in developing the idea, to determine whether the discovery should be patented, to receive and consider requests from employees and students desiring agreements with employees and students relative to assignment of patents to the University.

Employees agree when they receive a Notice of Appointment that, in the event they are assigned to a project funded by a research grant or contract, they will make full disclosure concerning inventions and discoveries to the University and grantor or sponsor of the project, will disclose any commitments or obligations to the grantor or sponsor, will hold in confidence any proprietary information obtained from the grantor or sponsor or information or data which reveal specific application of the results of the research through operations of the sponsor, and will not make available to others such information without prior written consent of the sponsor. (See Board Policy 210.1 for details.)

XIII. POLITICAL ACTIVITY (BOARD POLICY 465.1)

University employees, as citizens, have the right to engage in political activity. However, no employee may involve the institution's name, symbols, property, or supplies in political activities.

An employee who intends to seek public office or to assume a major role in a political campaign is obligated to discuss his/her plans with his/her supervisor. If the supervisor determines that the activity will impinge to any extent upon the full discharge of the employee's responsibilities to the University, the plans must be reviewed through regular administrative channels to the President's office for a determination of work load and salary adjustment.

Involvements which require part or full-time services, and for which more than token compensation is received, will require a reduction of work load and pay, leave of absence, or resignation, depending upon the extent of the activity.

To employees who may become candidates for office or become actively involved in political campaigns, the following statement (Administrative Memorandum 455.1) may be helpful:

An employee of the University who becomes a candidate for any national or statewide office will be placed on Leave of Absence Without Pay at the time of filing. An employee who becomes a candidate for the Arkansas General Assembly or a county office will have his/her employment status and salary reduced to half-time at such time after filing that he/she has an opponent who has filed. (In primary elections this means an opponent with the same political party designation.) Such leaves will extend to the end of the semester of summer session in which the election is held. An employee who has an opponent in the general election must take similar leave for the fall semester. An employee who is elected to a full-time county, statewide, or national office will be granted a Leave of Absence Without Pay for one year, and at the discretion of the Board of Trustees for a second year. In no instance will the leave be extended beyond the end of the second year.

Minimally, employees elected to the Arkansas General Assembly must take Leave of Absence Without Pay when the General Assembly is in regular session and for the duration of extraordinary sessions.

Where teaching duties are involved, in order that courses not be interrupted by a change in instructors to the disadvantage of students, campus administrators may require that such leaves coincide with the beginning or ending of a regular employment period of the University (semester, fiscal year, academic year).

XIV. RELATIONS WITH LEGISLATORS AND MEMBERS OF CONGRESS (ADM. MEMO. 910.1)

The Board of Trustees and the University administration respect the right of each University employee as a citizen to exercise freedom of expression on legislative issues. At the same time, University employees should not, unless authorized, attempt to speak as agents of the University in discussions with members of the Arkansas General Assembly, Arkansas constitutional officers, and members of Congress.

The President of the University, the Vice President for University Relations, and the Chancellors of the University campuses are the University officials responsible for liaison with members of the Arkansas General Assembly, Arkansas constitutional officers, and members of Congress concerning legislation and programs affecting any unit of the University.

The Board of Trustees, through its Legislative Committee, together with the President, defines University policy matters. The Vice President for University Relations and the Chancellors are responsible for interpreting the policy and presenting data and other information to appropriate state officials and members of the Legislature.

University employees who wish the University to consider matters for incorporation into its legislative programs should bring them to the attention of the Chancellor.

XV. NEPOTISM (BOARD POLICY 410.1)

No academic unit or division of the University shall employ any person in any capacity if such person is related by marriage or blood to any other employee if either one of the two related employees in the same or different units will have direction or supervision of the other. To avoid possible conflict or interest which may result from peer judgment or administrative review procedures, persons so related must not participate either formally or informally in decisions to hire, retain, promote, or determine the salary of the other. This policy shall not affect graduate assistants, interns, farm laborers, or custodians.

XVI. RETIREMENT AGE (BOARD POLICY 425.4)

There is no mandatory retirement age for University employees. University Administrative Memorandum 430.2 describes the voluntary early retirement program that is available to tenured faculty. A copy of this memorandum is available in the Office of the Vice Chancellor for Academic Affairs, and in the offices of the school deans, division chairs, and Library Director.

UAM has established the months of October and February as the time to consider inquiries. Tenured faculty interested in pursuing an early retirement may submit a letter of inquiry to the Vice Chancellor for Academic Affairs, through their unit head, before November 1, and before March 1. All inquiries will be reviewed by the Executive Council.

XVII. EMERITUS STATUS (BOARD POLICY 475.1)

A. Eligibility for Emeritus Status

In recognition of distinguished service to the University of Arkansas, retiring employees may be awarded emeritus status at the rank or title held at the time of retirement.

In order to be considered for emeritus status, an individual must be appropriately recommended and meet at least one of the following conditions:

1. The retiring individual is age 65 or older and has at least five years of continuous service with the University.
2. The retiring individual is age 62 or older and has at least 10 years of continuous service with the University.
3. The retiring individual has at least 20 years of continuous service with the University.
4. The retiring individual has elected to retire early under the early retirement provisions of Administrative Memorandum 430.2.

B. Procedures for Awarding Emeritus Status

In order for emeritus status to be conferred by the Board of Trustees, the individual must be recommended by the chief executive officer of the campus or unit. The President will recommend the final list of individuals to receive emeritus status.

Emeritus status will normally be conferred once each year by the Board of Trustees effective on July 1 for those individuals who have retired prior to that date. The President will receive recommendations no later than February 15, or such other date as may be specified, from the chief executive officer of the campus or unit.

C. Privileges of Emeritus Status

Emeritus status entitles the recipient to the following privileges:

1. Presentation of a certificate or resolution appropriate for framing;
2. Use of the title;
3. Continued campus faculty membership status for those with faculty rank, but without vote in the campus faculty governance body;
4. Inclusion in the campus directory, catalog, and other listings of campus faculty/staff;
5. Use of the library;
6. Eligibility to purchase a faculty/staff parking decal;
7. Faculty/staff admission to campus activities and events;
8. Waiver of fees for enrollment in University courses on a space-available basis.

D. Responsibility of Recipients of Emeritus Status

Emeritus employees are expected to assist and support the University in their areas of competence, particularly in an advisory capacity, when requested to do so.

XVIII. PROMOTION / TENURE CREDIT FOR ADVANCED DEGREE.

To strengthen certain academic units the University encourages faculty without a terminal degree to complete their degree program. Instructors with a masters degree who complete a terminal degree may, under certain circumstances, be awarded credit for up to two years of service. The conditions include, but are not limited to, the following:

1. The individual must have served as an instructor at the University for the credited time;
2. The unit head must propose the crediting of time and the proposal must be approved by the Provost and Vice Chancellor for Academic Affairs;

3. The individual must be eligible for appointment at least at the rank of assistant professor.

Instructors interested in pursuing this opportunity should discuss their individual circumstances with their academic unit head and the Provost and Vice Chancellor for Academic Affairs.

CHAPTER FIVE - UNIVERSITY POLICIES REGARDING FACULTY RIGHTS AND PRIVILEGES

I. REGULATIONS IN BUSINESS AFFAIRS (ADM. MEMO. 325.1)

A. Purchases: Current purchasing regulations may be obtained from the Office of the Vice Chancellor for Finance and Administration.

B. Sale of University Property: Current regulations may be obtained from the Office of the Vice Chancellor for Finance and Administration.

C. Sale of Books: Under University policy, instructors are not permitted to sell books or other instructional materials to students. When students are required to purchase books or other instructional materials in any academic program, the teacher in charge should arrange for sale of the required articles through the Bookstore.

D. Travel Regulations: University travel regulations are based on State travel regulations. Current regulations may be obtained from the Office of the Vice Chancellor for Finance and Administration.

E. Use of University Vehicles: University cars may be used for official University business, within the limit of car availability. To request a vehicle, call the UAM Motor Pool as soon as possible prior to the travel date to make arrangements. On the travel date the Motor Pool shall be provided with an academic unit account number for daily rate and mileage charges. A Motor Pool representative will assign a vehicle and assist in other matters.

F. Use of Private Cars: The University will pay a mileage allowance on a private car used by the owner on officially approved trips of University business, within certain limitations. Current regulations pertaining to use of private cars may be obtained from the Office of the Vice Chancellor for Finance and Administration.

G. Communications: University telephones are provided for University business. Personal long distance calls cannot be charged to University telephones.

H. Keys: Applications for keys must be approved by the employee's supervisor and the appropriate member of the UAM Executive Council. In some instances a deposit may be required. When persons leave University employment, all University keys must be returned before final checks will be released.

NOTE: See UAM Operating Procedure 310.1 regarding use of University property. A copy of all operating procedures are maintained in the office of the head of each academic unit, the library, and the office of all members of the Executive Council.

J. Visitors: All visitors to a class are required to have the permission of the instructor. Visitors to any classroom or University faculty must not be disruptive or present a safety hazard. Anyone planning to visit a class for more than four sessions will be required to enroll in the class as an auditor.

K. Cellular Telephones (UAM Operating Procedure 345.3): The University acknowledges that the performance of certain jobs may be enhanced by the use of cellular phones. Upon recognition of an official University business need, a department head may request cell phone approval for an employee.

II. USE OF UNIVERSITY'S NAME

The name of the University of Arkansas is used in a great many contexts and for a wide range of purposes. It is important to the institution that the use of the name "University of Arkansas at Fayetteville," "University of Arkansas for Medical Sciences Campus," "University of Arkansas at Little Rock," "University of Arkansas at Monticello," or "University of Arkansas at Pine Bluff" be limited to activities which are *in fact* activities of the University or one of the constituent campuses.

The following broad clarifications are applicable to most uses of the name of the University:

Public Appearances - Public appearances by individual faculty, staff, and students almost inevitably involve the name of the university. Beyond the normal care which such responsibility imposes there are certain specific policies which have been laid down. Students must, in order to be involved in extra-curricular activities, meet eligibility requirements of the campus on which they are enrolled. Appearances in intercollegiate athletics are subject to rules of the athletic conference to which the University belongs.

When University representatives appear on commercially sponsored radio and television programs, they should be identified as *guests*. Appearances on non-sponsored radio and television programs are considered simply as public appearances and impose only normal obligations on the participant for responsibility and good taste.

Sponsorship of Activities - When the name of the University is used in connection with seminars, institutes, conferences, workshops, short courses, and other such activities, the University shall *in fact* be a sponsor, cooperating through an extension or academic unit.

Public Statements - The chief administrative officer of each campus is responsible for official statements affecting his/her campus. News releases affecting the entire University should be coordinated in the Chancellor's Office through the Director of Media Services.

III. RESIDENCE STATUS OF FACULTY AND STAFF (ADM. MEMO. 245.3)

Faculty members appointed to the rank of instructor and above and persons appointed to equivalent research or library ranks, and whose appointments are for half-time or greater, are considered as residents for fee purposes. Part-time faculty or staff members who desire to take course work must obtain a form from the office of the Vice Chancellor for Finance and Administration certifying their appointment. The form should be presented to the Cashier's Office who will be instructed not to charge non-resident tuition.

Only those persons whose appointment forms are on file in the office of the Vice Chancellor for Finance and Administration will be certified.

IV. EMPLOYEE MOVING EXPENSES (UAM OPERATING PROCEDURE 404.5)

Moving expenses for newly hired faculty and non-classified staff may be paid according to the following schedule:

Faculty and non-classified staff	Not to exceed \$1,500
Deans and department heads	Not to exceed \$2,500
Executive Council Member	Not to exceed 10% of annual salary

The employee will request reimbursement upon presentation of documented receipts for the movement of household effects. Household effects as used herein does not apply to the movement of vehicular and farm equipment, boats and other items not normally used in the home. Packing, crating, loading and unloading of household effects, as necessary, in addition to actual transportation expenses, are acceptable as part of moving expenses.

This policy will be effective for employees hired after April 1, 2005.

V. ON-THE-JOB INJURY

Current procedures are posted in each building for on-the-job injuries. Please contact the UAM Personnel Office for a copy of the procedures if they are not posted or available.

VI. DISTURBANCES AND DEMONSTRATIONS

University regulations prohibit activities which (1) interfere with campus order and access, the normal functioning of the University, or the rights of other members of the University community; (2) result in injury to individuals on campus, damage to individual or University property, or unauthorized attempted or actual entry into University buildings; and (3) present a clear and impending threat to the safety of individuals, to University property, or to the University community in general. (See also Act 328 of 1967 and Board Policy 220.1.)

VII. DEVELOPMENT AND FUND-RAISING ACTIVITIES

All plans by individuals or groups associated with or employed by the university to solicit prospective donors for private financial support must be submitted to and approved by the Chancellor.

VIII. ENROLLMENT IN UNIVERSITY COURSES

University employees are encouraged to enroll in academic courses. Limited enrollment during regular working hours for employees is permitted upon supervisory approval. Partial tuition remission is available to full-time employees, their spouses, and their dependent children (as defined by the Internal Revenue Service) at any unit of the University of Arkansas regardless of the site of employment. The "Request for Registration Fee Discount" forms may be obtained in the office of the Vice Chancellor for Finance and Administration.

See UAM Operating Procedure 425.1 for additional details.

IX. ON-CAMPUS PARKING

Regulations for parking and traffic control, with appropriate penalties for violations, have been developed by a campus committee and approved by the Board of Trustees. Any employee or student who parks a vehicle on campus must have a valid parking permit. Permits and copies of regulations with a map indicating reserved and restricted zones may be obtained at the Office of Public Safety.

X. USE OF UNIVERSITY FACILITIES (BOARD POLICY 705.1, ADM. MEMO. 715.1)

University facilities exist for the primary purpose of serving a planned and scheduled program of educational activity. At times when not required in the regularly planned educational program, the University facilities may be made available for extra-curricular use to colleges, academic units, and other organizational units of the University; to organizations composed exclusively of faculty and staff; to organizations which exist solely for the benefit of the University; and to recognized student organizations with the approval of the faculty advisor.

University facilities under the law cannot be made available to organizations for their own purposes. However, when a facility is in use neither for a regularly scheduled educational activity nor for an extra-curricular use by one of the University organizations listed above, the President or Chancellor is authorized to approve the use of the facility when such use serves the educational objectives of the University provided that such use does not pertain to the soliciting of political party membership or supporting or opposing political candidates, the raising of money for projects not directly connected with a University activity, or for the conduct of private business.

See Universitywide Administrative Memorandum 715.1 for statement of principles, procedures, etc. Also see UAM Operating Procedure 710.1 on the use of University facilities.

A. Recreation Facilities

The University tennis courts, swimming pool, and recreation areas located on the campus and the facilities associated with the University Center (racquetball/volleyball courts, weight room, exercise center and gymnasium), are available to all faculty/staff members and their immediate families. Family members must be 16 years of age or older and have in their possession a current staff or faculty UAM identification card in order to use the University Center facilities.

Faculty and staff are also eligible to use the Cardiovascular Respiratory (CVR) Laboratory located in the University Center. The equipment consists of treadmills, cardiovascular exercise machines and isotonic weight machines. Use of this lab requires a current UAM identification card.

B. Reserving Facilities

For those desiring to reserve certain facilities on the Monticello campus, the Student Affairs Office will serve as the primary contact for most facilities. Facility Reservation Forms must be properly completed and presented to the Student Affairs Office staff in the required timeframe for consideration. The forms specifying the locations available for reservation are available on the UAM homepage at www.uamont.edu.

C. Library Use

UAM faculty, research assistants, students, and staff will be loaned materials upon the presentation of a current validated UAM identification card. A detailed copy of all Library circulation policies may be obtained from the Library. The following selected policies will guide faculty in basic use of services:

CIRCULATING MATERIALS

TYPES OF MATERIALS	LOAN PERIOD
1. Circulating book collection	One year
Curriculum materials collection	No renewals
Federal/State documents collection	
2. Reserve materials	24 hour, 5 day

University policy states that ALL faculty loans are due in May of each year. Failure to turn in books at this time will result in a minimum \$70.00 charge for each book not returned.

INTERLIBRARY LOAN

Interlibrary loan (ILL) is a service through which students, faculty, and staff may borrow materials not owned by the UAM Library from other libraries. Requested material may be furnished without cost to the patron. Any fees assessed by the lending library will be passed on to the requestor. A detailed copy of the Interlibrary loan policy may be obtained from the Library.

D. Graphic Design and Copy Center

The UAM Graphic Design and Copy Center functions as a laboratory that supports instructional development and instructional programs for all academic units, administrative offices, and student groups that have institutional budgets. The Graphic Design and Copy Center request forms should be submitted to request services and/or copies.

XI. OTHER UNIVERSITY SERVICES

A. Computer Services

The University computer system is available for faculty use. Faculty may access a variety of services through their offices including, but not limited to, Internet, e-mail, library holdings, and connections to the administrative system for academic advising. For further information contact the Director of Information Technology.

B. Credit Union

Members of the faculty and staff are eligible for membership in the Arkansas Superior Federal Credit Union. The credit union offers both savings and loan services. For further information, contact the Personnel Office. The Arkansas Superior Federal Credit Union has a branch location in Monticello.

C. Cafeteria Meal Ticket at Reduced Price

Faculty and staff may purchase a 20-meal ticket or a 10-meal ticket (at a reduced price) to use at any time during regular cafeteria serving hours. For further information, contact Aramark in the University Center.

D. Campus Mail

Contact the UAM Bookstore for assistance with UAM campus mail.

E. Faculty and Staff with Disabilities:

UAM faculty and staff with disabilities may receive a number of services through the Office of Special Student Services. Faculty wishing to receive these services, whether for a permanent or temporary disability, must do the following:

1. Meet with the Director of Special Student Services to request specific accommodations.
2. Provide relevant, specific documentation from a medical professional regarding the existing limitations.

In the event of a temporary disability, the special accommodations may be arranged for a specific period of time.

CHAPTER SIX - FACULTY RESPONSIBILITIES

I. FACULTY CLASS ATTENDANCE

Faculty members are expected to regularly attend all classes and labs for which they are scheduled. It is expected that faculty members will be fully prepared for all their classes and will conduct them for the entire time allotted. Classes are not to be dismissed early. When faculty members are not able to meet a class due to illness or other defensible reasons, the unit head must be notified personally in advance so arrangements may be made for the class.

II. FACULTY GRADING STANDARDS AND POLICY, EXAMINATIONS AND GRADE REPORTS

Faculty members are required to evaluate the quality of work done by each student and regularly advise each student of his/her progress and class standing. All courses will have several tests during the semester. A final examination is required in all classes. The method of grading used for a class is to be explained to the students at the beginning of the course. Instructors are encouraged to provide timely information regarding a student's status in the course. One efficient way to do this is by posting grades. Care should be taken to protect the confidentiality of the student. Do not use student initials, social security number, etc. or post in alphabetical order. One technique which is useful is to assign students a code number at the beginning of a semester and to post grades using this number. Students have the right not to have their grades posted or to request a new code number. Mid-semester grades are considered to be unofficial progress reports in that, while these grades do indicate the current class standing of the student, they are not permanently recorded on the student's official academic record. Instructors should notify students of their mid-semester grades. The grade symbols and their meaning are as follows:

<u>Grade</u>	<u>Point</u>	<u>Meaning</u>
A	4	Outstanding Achievement
B	3	Good Achievement
C	2	Average Achievement
D	1	Passing, but Unsatisfactory Performance
F	0	Failing
AU	0	Courses not Being Taken for Degree Credit
I	0	Required Work not Completed
W	0	Withdrew
CR	0	Credit (No Grade/Points)

A. The “Incomplete” Course Completion Plan

The Incomplete should only be used when, due to circumstances beyond his/her control, the student is unable to complete and pass all outstanding requirements for a course.

If an “I” is deemed appropriate, the instructor of record *must* file a Course Completion Plan (located in the office of the academic unit head) with the unit head. The course completion plan must outline work completed with an evaluation *and* an outline of the work to be completed.

This plan must be signed by the instructor and student at the earliest date. Only when the course completion plan has been approved will the unit head sign grade sheets containing "I's."

NOTE: The Registrar will not accept an "I" if the unit head has not approved it.

B. "W" and "F"

Students who withdraw from a course after the 11th day of class shall receive the grade of "W" which will remain on the transcript and count as a course attempted but will not affect the grade point. If this change is initiated because of a written departmental request, students will not receive the grade of

"W" unless the academic unit stipulates that a "W" is to be assigned. The two most common examples of changes being initiated because of a departmental request would be a student switching sections within the same course and students who are required to drop a course because they lack the prerequisites. Students who withdraw from a course after the 10th week of class will receive the grade of "F" instead of the grade of "W" if they are failing the course at the time of withdrawal.

III. FINAL EXAMINATION SCHEDULE

A final examination is required in all classes. This examination should be given during the scheduled period. Students who have three examinations scheduled on the same day may petition the Provost and Vice Chancellor for Academic Affairs for rescheduling.

IV. POLICY ON CHANGING GRADES

Grades submitted to the Registrar's Office should be accurate and final. If a grade has been incorrectly submitted or recorded, the instructor of record for the course must submit a "Change of Grade" form (located in the office of the academic unit head and online) must be approved by both the academic unit head and the Academic Vice Chancellor or Provost.

V. STUDENT APPEAL OF GRADE

The faculty should be aware that a student has the right to appeal a grade. Appropriate records on the work of a student in each class should be maintained by the instructor. The student has 120 days to initiate an appeal. The Academic Appeals Committee will hear appeals of grades if mediation by the instructor, academic unit head and the academic Vice Chancellor have been documented. The Proof of Mediation form and the Academic Appeals form may be acquired in the Office of Academic Affairs or online under the Academic Affairs' webpage.

VI. STUDENT RECORDS

In the event of a dispute between student and instructor, records of student achievement retained by the faculty become the property of the University. Instructors are required to maintain such records for a minimum of 120 days. Instructors are required to maintain grade books for three calendar years.

If a faculty member terminates employment with the University, all academic records are to be transferred to the unit head. Termination will not be cleared until such records are transferred.

The University adheres to the requirements of the "Family Educational Rights and Privacy Act of 1974" as amended (Buckley Amendment). Under this act, students have a right of access to personal records, may challenge the content of records, and have the assurance that their records will be kept confidential. There are exceptions to these regulations which must be carefully observed and documented. (See Administrative Memorandum 515.1 for details and forms to be used.) See Appendix E for additional information regarding student records.

VII. FACULTY ATTENDANCE AT COMMENCEMENT

Faculty members who are employed one-half time or more are required to attend commencement. On those rare occasions when a faculty member needs to be absent from commencement due to some personal or professional responsibility, he/she should discuss the problem with the Provost and Vice Chancellor for Academic Affairs and request permission to be absent. Only the Chancellor or the Provost and Vice Chancellor for Academic Affairs may excuse a faculty member from commencement.

VIII. OFFICE HOURS

Faculty members are expected to maintain a reasonable number of office hours to facilitate student counseling and advising. Faculty members must schedule at least ten hours per week with time in the mornings and afternoons each day. Office hours should be flexible enough to provide reasonable access to students who may have class conflicts. Faculty with responsibilities for laboratories, clinical and intern supervision, and/or research duties, or internship duties should consult with the unit head to design a plan to meet the required time. Office hours must be approved by the unit head. A schedule of office hours must be posted on the faculty member's door, listed in the course syllabus, and a copy filed in the supervisor's office and in the Office of Academic Affairs.

IX. COURSE SYLLABUS REQUIREMENTS

Each faculty member is required to prepare, regularly revise, and distribute to students and the unit head a course syllabus for each course he/she teaches. A copy of each syllabus *must* be approved by the unit head and filed with the Provost and Vice Chancellor for Academic Affairs by the last day to enroll. The syllabus should contain, as a minimum, the following information:

1. Course identification
2. Course prerequisites
3. Text(s) and supplemental books and materials
4. Professor's name
5. Office hours
6. Statement of special policies such as absenteeism, cheating, plagiarism, etc.
7. Special dates of concern to the course
8. Goals and objectives of the course
9. Content outline with schedule or sequencing plus required readings
10. Special projects, assignments, field trips, etc.
NOTE: If students *will not* be excused from activities such as field trips, it must be so stated.
11. Provisions for tests and evaluations
12. Thorough explanation of grading policy
13. Statement indicating availability of services for students with disabilities
14. Statement on disruptive behavior: The following action is prohibited under the Student Conduct Code: Disorderly Conduct: Any behavior which disrupts the

regular or normal functions of the University community, including behavior which breaches the peace or violates the rights of other.

X. ACADEMIC ADVISING

UAM is committed to the belief that students need personal guidance and counsel from faculty members on academic matters, such as sequencing courses in the major, meeting University requirements, etc.

The unit head assigns faculty members as advisors to students majoring in a field within their unit. Advisors are to meet with students as needed to assist students in meeting their academic goals. Faculty are provided information about each student, including semester grade reports. Each advisor should keep an up-to-date check sheet to facilitate course selection for each advisee. Students whose academic work is below a "C" are notified that their work is probationary in quality and are instructed to see their advisor. Faculty are urged to provide accurate information and to be knowledgeable of University requirements. Advisors should be aware of helpful student services that promote learning including computer labs, tutoring services, the Writing Center, and other such services. The advisor should refer students to those offices if services seem appropriate.

XI. ADVISOR TO STUDENT ORGANIZATIONS

Faculty members may be asked to serve as an advisor to an officially recognized student organization. An advisor accepts responsibility for assuring that the organization stays within the limits of University policy. An Advisor's Handbook is available from the Assistant Vice Chancellor for Student Affairs.

XII. OTHER DUTIES

Faculty members are expected to serve on committees, serve as academic advisors, sponsor student organizations, conduct research, and be involved in their professional organization and activities. The amount of time devoted to these activities should be discussed with the unit head.

XIII. SERVICES FOR STUDENTS WITH DISABILITIES

UAM is committed to providing equal educational opportunities for all students. Students with disabilities who require special accommodations should discuss their needs with the Director of Special Student Services whose office is located in the Office of Admissions in Harris Hall.

XIV. STUDENT RECORDS AND THEIR DISCLOSURE

The University of Arkansas has established a system-wide policy in compliance with the "Family Educational Rights and Privacy Act of 1974" as amended, 20 U.S.C. Section 1232G, and the regulations of the Department of Education, Codified in Part 99 of Title 34 of the Code of Federal Regulations and their disclosure to address student educational records. Personally identifiable information from a student's education records shall not be disclosed without prior written consent of the student. Questions concerning the release of educational records should be referred to the Registrar's Office. The system-wide policy is available in its entirety in the Library and is made available to the public. A summary of this policy may be found in Appendix E.

XV. STUDENT ABSENCES DUE TO PARTICIPATION IN UNIVERSITY SPONSORED EVENTS

At times, a student may participate in a University sponsored activity which causes the student to miss one or more class meetings. When this occurs, the sponsor of the activity will provide the student with a memo which includes the event, dates and times of the event, and the student's name. The student will individually contact each of his/her instructors to discuss the class(s) to be missed. This discussion should occur at least one week prior to the anticipated absence. The student is responsible for all material covered and any class activities during the absence. The sponsor of the activity will also provide all academic unit heads and the Office of Academic Affairs a description of the activity which includes the location, dates, and a list of campus participants. The sponsor of the activity will also acquire authorization from the appropriate Executive Council member a reasonable time in advance of travel by submitting a "Notification of Off-Campus Travel of Students" form as required by UAM Operating Procedure 535.1. Forms are available online under the Academic Affairs webpage.

XVI. POLICY FOR RESEARCH USING HUMAN SUBJECTS

The Institutional Review Board (IRB), appointed by the Provost and Vice Chancellor for Academic Affairs, recommends policies, and monitors their implementation, on the use of human beings as subjects for physical, mental, and social experimentation in and out of class. Policies recommended are in keeping with the guidelines established by the U.S. Department of Health and Human Services, other federal agencies, and the Belmont Report.

Protocols for the use of human subjects in research and in class experiments, whether funded internally or externally, must be approved by the Human Subjects Committee (HSC) or in accordance with IRB policies and procedures prior to the implementation of the human subject protocol. HSC approval may be for one year (maximum) or shorter intervals as determined by the IRB. Approval, denial or the withholding of approval pending modification to the protocol is at the sole discretion of the IRB. Violation of procedures and approved protocols can result in the loss of funding from the sponsoring agency or the University of Arkansas at Monticello and may be interpreted as scientific misconduct.

The Provost and Vice Chancellor for Academic Affairs shall appoint at least five tenured/tenure track faculty each year as members to the HSC so that the membership complies with 45 CFR 46, as the same shall be amended from time to time. In addition to the foregoing individuals, the HSC may, at its discretion, invite individuals with competence in special areas to assist in the review of issues which require expertise beyond or in addition to that available on the HSC. These individuals may not vote with the HSC. The members of the HSC will serve a one-academic-year term and may be re-appointed to serve a total of three terms. Faculty may be appointed again after a hiatus of three years. It is recommended that the committee members be chosen from academic units that typically use human subjects in their research. The Provost and Vice Chancellor for Academic Affairs will designate a chairperson with HSC experience from the HSC faculty members.

Approved by Academic Council: August 2005

XVII. ANIMAL CARE AND USE POLICY

The following is the policy of the University of Arkansas at Monticello regarding animal care and use. It applies to all research and teaching using live vertebrate animals conducted at the University campus, or by University faculty, staff, or students when acting as representatives of the University at off-campus locations. This policy does not apply to research and teaching using human subjects. Current protocol forms can be found on the Academic Affairs website.

1. The University endorses and supports the responsible use of animals in research and teaching. This Policy on Animal Care and Use is designed to ensure that animal use at the University is conducted in a humane, productive, and responsible fashion. The University acknowledges and accepts responsibility for the care and use of animals in research and teaching, and will make a reasonable effort to ensure that all individuals involved in the care and use of animals understand their individual and collective responsibilities for compliance with the University's Policy on Animal Care and Use as well as all other applicable laws and regulations pertaining to animal care and use.
2. The University endorses and will comply with the following:
 - A. All applicable provisions of the Animal Welfare Act, its amendments, and the regulations formulated to implement this act (hereafter referred to as the Animal Welfare Act regulations).
 - B. U. S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training.
 - C. The Public Health Service Policy on Humane Care and Use of Laboratory Animals (hereafter referred to as PHS Policy). The University will maintain an Animal Welfare Assurance, as specified by PHS Policy, with the Office for Protection from Research Risks of the National Institutes of Health.
 - D. All applicable provisions of other federal and state statutes and regulations relating to animals.
3. The University recognizes the classification of animal use in research and teaching into the following three categories for the purpose of specifying the standards for animal care and use within each category. These three categories and the corresponding standards are:
 - A. Biomedical research and teaching. This is research and teaching whose goal is to generate or communicate knowledge that will contribute to improving the health and well-being of humans and/or animals not involved in agricultural production.
 1. For biomedical research and teaching the University endorses the standards for animal care and use contained within two separate documents. These are 1) the Animal Welfare Act regulations, and 2) the Guide for the Care and Use of Laboratory Animals. It is the policy of the University that each of these documents will apply to those species specified in each document. Anyone conducting biomedical research and teaching with a vertebrate species not covered by these documents should work closely with the Institutional Animal Care and Use Committee and the Animal Welfare Veterinarian (see Items 5-7 below) to develop appropriate guidelines for the particular species being studied.
 - B. Agricultural research and teaching. This is research and teaching whose goal is to generate or communicate knowledge that will contribute to the improvement of commercial food or fiber production from animals.

1. For agricultural research and teaching, the University endorses the standards for animal care and use contained within the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching, prepared by the NASULGC Consortium.
- C. Field research and teaching. This is research and teaching whose goal is to generate or communicate knowledge that will contribute to our understanding of animals living in the wild. This category is limited to the study of animals that are living in the wild. If wild animals are captured and brought into the laboratory for study, all use conducted in the laboratory will be subject to the standards for biomedical research and teaching outlined in Item 3.A.
1. For field research and teaching, the University endorses the standards for animal care and use contained within the following documents and any subsequent revisions.
 - A. For mammals:
Acceptable field methods in Mammalogy: Preliminary guidelines approved by the American Society of Mammalogists. (1987). Journal of Mammalogy, Supplement to Volume 68(4), 1-18.
 - B. For birds:
Report of the American Ornithologists' Union. Ad hoc committee on the use of wild birds in research. (1988). The Auk, Supplement to Volume 105(1), 1A-41A.
 - C. For amphibians and reptiles:
Guidelines for the use of live amphibians and reptiles in field research. (1987). Joint publication of the American Society of Ichthyologists and Herpetologists, The Herpetologists' League, and Society for the Study of Amphibians and Reptiles.
 - D. For fishes:
Guidelines for the use of fishes in field research. (1987). Joint publication of the American Society of Ichthyologists and Herpetologists, American Fisheries Society, and American Institute of Fisheries Research Biologists.

For the purpose of classification, research and teaching not clearly identifiable as agricultural or field research and teaching will be classified as biomedical research and teaching.

4. For standards of euthanasia in all categories of research and teaching, the University endorses the following document and any subsequent revisions:
Report of the AVMA Panel on Euthanasia. (1993). Journal of American Veterinary Medical Association, 202(2): 229-249.
5. The University recognizes the Institutional Animal Care and Use Committee (IACUC) as its representative in overseeing, supporting, and regulating animal care and use. The IACUC is charged with monitoring adherence to the Animal Welfare Act regulations, PHS Policy, and the University's Policy on Animal Care and Use, and is empowered to develop the procedures and forms needed to carry out this task. All research or teaching using live vertebrate animals that is covered by the University's Policy on Animal Care and Use, regardless of its purpose or source of funding, must have prior written approval from the IACUC of an Animal Use Protocol submitted by the user for review by the committee. There is one exception to this policy, which is that specific Animal Use Protocols shall not be required for agricultural teaching applications involving the non-stressful observation of farm animals, demonstration of judging techniques, demonstration of accepted farm management practices, or normal use of farm animals in production. Instead, standard operating procedures detailing such practices and procedures shall be kept on file in the office of the

Vice Chancellor for Academic Affairs, and shall be incorporated into the Policies and Procedures of the Division of Agriculture.

6. The IACUC operates in full compliance with PHS Policy and the Animal Welfare Act regulations. It has the following duties, powers, and membership:
 - A. It recommends policies and procedures concerning the uses, care, housing, and disposal of vertebrate animals held or used for research, teaching, or other activities.
 - B. It reviews at least semi-annually the University's program for humane care and use of animals.
 - C. It inspects at least semi-annually all of the University's animal facilities, including satellite facilities, that are involved in biomedical or field research and teaching.
 - D. It reviews concerns involving the care and use of animals at the University.
 - E. It makes written recommendations to the Vice Chancellor for Academic Affairs regarding any aspect of the University's animal program, facilities, or personnel training with the report to include violations, deficiencies, and deviations from approved practices.
 - F. It notifies, through the appropriate institutional official (the Vice Chancellor for Academic Affairs), the Office for Protection from Research Risks of the Public Health Service and the Animal and Plant Health Inspection Service of the U. S. Department of Agriculture, as well as the funding agency, if deficiencies exist after ample time for correction.
 - G. It reviews and approves, requires modifications in (to secure approval), or withholds approval of Animal Use Protocols.
 - H. It reviews and approves, requires modifications in (to secure approval), or withholds approval of proposed significant changes regarding the use of animals in ongoing activities.
 - I. It notifies investigators and the University in writing of its decision to approve or withhold approval of Animal Use Protocols, or of modifications required to secure IACUC approval.
 - J. It inspects, at its discretion, facilities at which an Animal Use Protocol is being conducted.
 - K. It is authorized to suspend an activity involving animals.
 - L. Members are appointed by the Vice Chancellor for Academic Affairs. Membership consists of at least the following:
 1. One representative and an alternate nominated by the unit head from each of the units regularly utilizing vertebrate animals for research or teaching.
 2. One representative from a department in an area other than the biological sciences (a non-animal user).
 3. One representative from the surrounding community who is not a member of the immediate family of anyone affiliated with the University.
 4. One graduate student representative and an alternate who is in one of the disciplines affected by the committee work.
 5. The Animal Welfare Veterinarian.
 6. Ex officio and non-voting, the Vice Chancellor for Academic Affairs or his/her designee.

The non-animal user faculty representative and the community representative will be appointed by the Vice Chancellor for Academic Affairs. At least one member of the committee must hold a Doctor of Veterinary Medicine degree. Not more than three members

shall be from the same administrative unit at the program level of the University. The Vice Chancellor for Academic Affairs will designate a chairperson from the members.

7. The Animal Welfare Veterinarian shall be appointed by the Vice Chancellor for Academic Affairs. On matters relating to animal welfare the Animal Welfare Veterinarian shall report to the Vice Chancellor for Academic Affairs. The duties of the Animal Welfare Veterinarian, in addition to sitting on the IACUC, include the following:
 - A. Work with the IACUC to assure compliance of animal facilities with the requirements of the Animal Welfare Act, applicable state and local laws, PHS and NIH guidelines, and accreditation organizations.
 - B. Assure that education and research endeavors involving animals are conducted according to acceptable practices and as approved by the IACUC.
 - C. Work with the IACUC to develop institutional guidelines and provide programs concerning veterinary care for animals used in research or teaching. Preventive, diagnostic, and surgical services should be administered through the Animal Welfare Veterinarian.
 - D. Facilitate development of proposed animal research projects and provide counsel to principal or cooperative investigators during conception, performance, and completion of IACUC-approved protocols.
 - E. Train animal care technicians on an as-needed basis and through regularly scheduled seminars. Prepare and make available materials pertaining to policies and acceptable procedures. Advise personnel as needed. Provide continuing education opportunities to all interested personnel.
 - F. Help in developing comprehensive sanitation and general housekeeping programs for each animal housing unit and related facilities. Establish programs for aseptic techniques, surgical equipment care, and pharmacological usage and storage. Conduct periodic inspections of all facilities involved in biomedical or field research and teaching.
 - G. Apprise appropriate institutional officials of problems that arise pertaining to physical plant problems or deviations from accepted practices or procedures. Confer with the Vice Chancellor for Academic Affairs on matters of animal care and use in research and teaching.
 - H. Provide information as needed for the safety and protection of personnel as it relates to occupational health hazards. Coordinate efforts with other appointed safety officers (biohazard, radioactive materials).
 - I. Assemble materials and prepare various reports and statements as requested or required by various regulatory or accreditation agencies.
 - J. Provide veterinary services to animals being used in a research or teaching project.
8. Anyone having a concern that the University's Policy on Animal Care and Use is being violated should report his/her concern to the chair of the IACUC. An inspection will then be made by the chair of the IACUC or other members of the IACUC appointed by the chair. If deficiencies in animal care and use are observed, the IACUC will take the necessary steps to ensure compliance with University policy. If serious misconduct regarding animal care and use occurs, administrative action may be used to rectify the situation.
9. An occupational health program will be provided by the University for personnel who work in laboratory animal facilities or have substantial laboratory animal contact. This program will be periodically reviewed by a qualified Occupational Health Professional and will include the following components:

- A. A medical history and physical examination will be completed for each laboratory animal worker prior to beginning work with animals. Periodic physical examinations will be carried out for workers in job categories that expose them to potentially hazardous circumstances.
- B. An ongoing education program will ensure that all laboratory animal workers are aware of potential hazards such as zoonoses, possible injuries from or allergies to animals, and any safety hazards associated with the specific type of work being carried out.
- C. An immunization program will ensure that all laboratory animal workers have been vaccinated for tetanus. In addition, voluntary vaccinations will be provided for individuals exposed to animals known or suspected to carry specific infectious diseases for which effective vaccines are available.
- D. Zoonoses surveillance will be provided, including keeping records of individual work assignments, bite wounds, and unusual illnesses.

Documents Providing Standards for Animal Care and Use

The following documents (and any subsequent revisions) are those referred to in and endorsed by the University of Arkansas at Monticello's Policy on Animal Care and Use:

1. Regulations for the implementation of the Animal Welfare Act. Title 9, Code of Federal Regulations, Parts 1-3. (Referred to in this document as the Animal Welfare Act regulations).
2. U. S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training. (1985). Interagency Research Animal Committee. Federal Register, May 20, 1985. (These principles are listed in Appendix D of the Guide for the Care and Use of Laboratory Animals).
3. Public Health Service Policy on Humane Care and Use of Laboratory Animals. (1996). Office for Protection from Research Risks, National Institutes of Health. (Referred to in this document as PHS Policy).
4. Guide for the Care and Use of Laboratory Animals (7th edition). (1996). National Academy Press.
5. Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching. (1988). NASULGC Consortium. Association Headquarters, 309 W. Clark St., Champaign, IL 61820.
6. Acceptable field methods in Mammalogy: Preliminary guidelines approved by the American Society of Mammalogists. (1987). Journal of Mammalogy, Supplement to Volume 68(4), 1-18.
7. Report of the American Ornithologists' Union. Ad hoc committee on the use of wild birds in research. (1988). The Auk, Supplement to Volume 105(1), 1A-41A.
8. Guidelines for the use of live amphibians and reptiles in field research. (1987). Joint publication of the American Society of Ichthyologists and Herpetologists, The Herpetologists' League, and Society for the Study of Amphibians and Reptiles.
9. Guidelines for the use of fishes in field research. (1987). Joint publication of the American Society of Ichthyologists and Herpetologists, American Fisheries Society, and American Institute of Fisheries Research Biologists.
10. Report of the AVMA Panel on Euthanasia. (1993). Journal of American Veterinary Medical Association, 202(2): 229-249.

Approved by Academic Council September 6, 2006

CHAPTER SEVEN - COMPLIANCE WITH LOCAL, STATE AND FEDERAL REGULATIONS

I. FEDERAL LAWS AND REGULATIONS CONCERNING NON- DISCRIMINATION

A. Applicable Statutes

The following federal laws and executive order apply to the operation of all units of the University:

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin by educational programs receiving federal funds.

Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972, prohibits discrimination in employment (including hiring, upgrading, salaries, fringe benefits, training, and other conditions of employment) on the basis of race, color, religion, national origin, or sex.

Executive Order 11246, as amended by Executive Order 11375, prohibits discrimination in employment on the basis of race, color, religion, national origin, or sex by institutions with federal contracts of over \$10,000.

Equal Pay Act of 1963, as amended by Educational Amendments of 1972 (Higher Education Act), prohibits discrimination on the basis of sex against students or others in education programs or activities.

Title VII (Section 799A) and Title VIII (Section 845) of the Public Health Service Act, as amended by the Comprehensive Health Manpower Training Act of 1971, prohibits discrimination based on sex in admission of students to federally assisted health personnel training programs and in employment practice in these programs.

The Age Discrimination in Employment Act covers people aged 40B70 and forbids discrimination on the basis of age unless age is a *bona fide* occupational qualification. The University may not advertise so as to indicate a preference or limitation on age, discriminate in hiring on the basis of age, or deny career opportunities on the basis of age.

The Rehabilitation Act of 1973 (Section 503) prohibits discrimination in employment of qualified handicapped individuals. Section 504 of this same Act prohibits discrimination against handicapped students.

The Vietnam Era Veterans Readjustment Assistance Act of 1974 prohibits discrimination against qualified disabled veterans and veterans of the Vietnam era.

B. Statement of Policy

The University of Arkansas at Monticello is committed to the policy of providing educational opportunities to all qualified students and employment opportunities to all persons,

regardless of their economic or social status, and will not discriminate on the basis of disability, race, color, sex, creed, or any legally protected class.

The Human Relations Officer has been designated to coordinate efforts to comply with all laws and regulations applicable to qualified disabled individuals, as required by Section 504 of the Rehabilitation Act of 1973.

Inquiries concerning the applications of all federal laws and regulations regarding discrimination should be directed to the Human Relations Officer at the University of Arkansas at Monticello.

C. Complaint Procedures

All complaints charging discrimination on account of race, sex, color, religion, national origin, or handicap shall be resolved exclusively under these procedures.

The employee will discuss the complaint with the employee's immediate supervisor. If after five days the complaint is not satisfactorily resolved, the employee may file a written grievance by following the steps outlined in the academic Employee Grievance Procedures.

II. DRUG FREE SCHOOLS AND COMMUNITIES ACT

The Drug-Free Schools and Communities Act Amendments of 1989 require that the University annually distribute, in writing, to each faculty and staff member information concerning the use of alcohol and illicit drugs. Below are University policies, legal statutes, health risks and available resources for treatment and counseling related to alcohol and illicit drugs.

A. University Policy and Sanctions

As a condition of employment, the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcohol is prohibited on the premises of the University of Arkansas at Monticello. Violators of this policy are subject to discipline up to and including termination. This disciplinary action may include the requirement of the employee that he/she successfully finish an employee assistance program sponsored by an approved private or governmental institution. UAM is an alcohol-free, drug-free environment.

B. Statement of Local, State and Federal Law Applicability

All local, state and federal laws pertaining to controlled substances and alcohol abuse are enforced on campus. Sanctions for controlled substances range from a fine of \$575.00 for simple possession to twenty years for felony possession:

1st Offense - \$450.00 Fine
Driver's License Suspended for 90 days
24 Hours in Jail

2nd Offense - \$1,000.00 Fine
Driver's License Suspended for 1 Year
7 Days in Jail

3rd Offense - \$1,500.00 Fine
Driver's License Suspended Indefinitely
30 Days in Jail

4th Offense - Felony, Jail Time to be Determined by Judge

C. Alcohol and Illicit Drug Health Risks

The use of alcohol and other drugs has many adverse effects on the body. Initially, alcohol causes an increase in heart rate, then momentarily causes depression of the central nervous system. This depression leads to a decrease in heart rate, blood pressure, and respiratory rate. It also causes the brain to function in an abnormal manner resulting in slow reactions, speech and vision impairments, and problems with mechanical tasks such as walking and driving.

Over a long period of time, alcohol consumption may lead to cirrhosis of the liver, enlarged heart, congestive heart failure, gastritis, gastric ulcers, cancers of the mouth, esophagus and stomach, weakened muscles and bones, personality disorders, brain damage and, possible psychosis.

Alcohol consumption also causes malnutrition because alcohol robs the body of many vitamins and minerals by interfering with their absorption. The decrease in appetite caused by alcohol and the substitution of alcohol for food are also contributors of nutritional deficits.

Other popular drugs such as anabolic steroids, cocaine, and marijuana also have severe health risks. Anabolic steroids may cause over aggressiveness and sterility; cocaine causes severe depression, possible hallucinations and paranoia, and a change in blood pressure, heart rate, and respiratory rate which may lead to congestive heart failure; and marijuana causes alterations in mood, memory, motor coordination, cognitive ability, and self-perception.

D. Counseling and Treatment Services

Individuals needing information about alcohol or illicit drug counseling, treatment, rehabilitation, or re-entry programs can contact the Counseling and Testing Office located in Harris Hall. This office can provide information on programs located throughout the state. Additionally, employees carrying University medical insurance are eligible for substance abuse care insurance. Employees with specific questions concerning insurance coverage should contact the Personnel Office.

III. DRUG-FREE WORKPLACE

The University of Arkansas at Monticello has adopted the State of Arkansas Drug-Free Workplace Policy. This policy explains certain responsibilities of the University and its employees in order to maintain a drug-free workplace.

IV. CLERY ACT DISCLOSURE

Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act

IMPORTANT NOTIFICATION FOR FACULTY/STAFF, STUDENTS and the University Community

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (20 USC § 1092(f)) is the federal law originally known as the Campus Security Act. This Act requires colleges and universities across the United States to disclose information about crime on and around their campuses.

To comply with the Clery Act, the UAM Department of Public Safety has prepared an *Annual Security Report/Fire Safety Report* located on the UAM web site at:

<http://uam-web2.uamont.edu/pdfs/Student%20Affairs/AnnualSecurityAndFireSafetyReport.pdf>

The report is available to both current and prospective students and employees as part of the University's commitment to the safety and well-being of the UAM community.

The Annual Security Report/Fire Safety Report includes statistics for the previous three years concerning reported crimes that occurred on-campus, in certain off-campus buildings, on property owned/controlled by the University of Arkansas at Monticello, and on public property within, or immediately adjacent to and accessible from, the campus. The report also includes institutional policies concerning campus security, such as policies addressing sexual assault, and other matters.

The Annual Security Report/Fire Safety Report is updated each year. In addition to the on-line availability, a copy can be obtained by contacting the Department of Public Safety at 870 460-1083 or the Office of Student Affairs at 870-460-1053.

The University of Arkansas at Monticello **Constitution**

ARTICLE I

SCOPE AND PURPOSE

We, of the University of Arkansas at Monticello, share with all universities the commitment to search for truth and understanding through scholastic endeavor. We recognize that the method of governance of any institution is of singular importance in determining the character of that institution. We further recognize that our commitment to scholastic endeavor is best governed by the corporate wisdom, participatory decision-making, and collective efforts of the students, faculty, staff, and administrators of the University of Arkansas at Monticello.

Therefore, we hereby ordain and establish this constitution for governance of the University of Arkansas at Monticello pursuant to the policies established by the Board of Trustees of the University of Arkansas, under the authority of the University of Arkansas Board of Trustees Board Policy 100.4, "Rules and Regulations of the Board of Trustees of the University of Arkansas for the Governance of the U. of A., 1975," and as specifically granted in Board Policy 1410.1, Campus Governance (dated September 4, 2009), and any subsequent revisions thereof.

We expect this constitution to promote the recognition of problems, to enable the use of human and capital resources for solutions to those problems, to facilitate communication within the University community, and to promote standards of tolerance, fairness, and respect toward all members of the University community. We further trust that this constitution promotes a participatory collegium toward the enlightened furtherance of the academic charge and ideals upon which the University of Arkansas at Monticello is founded.

ARTICLE II

THE ASSEMBLY

Section 1. Name. The name of the governing body of the University of Arkansas at Monticello (UAM) shall be the UAM Assembly, hereinafter called the Assembly.

Section 2. Authority and Responsibility. The UAM Assembly is, under the Board of Trustees, the ruling legislative body for the development and revision

of educational policies and programs of UAM. The UAM Assembly shall have legislative powers on local educational policies including:

1. Admission requirements
2. Curriculum and courses
3. Degrees and requirements for degrees
4. Calendar and schedule
5. Awards of honors and honorary degrees
6. Student Affairs
7. Interpretation of its own legislation

In addition, the Assembly shall have the authority to make recommendations to the Chancellor, President, and Board of Trustees on any matter of general faculty or University concern. Through the Chancellor, actions on any matter the Assembly may recommend are reported to the President and, when requested by the University government or considered necessary and desirable by the President, to the Board of Trustees.

The Assembly retains the powers of initiative and referendum in all its actions and deliberations.

ARTICLE III

Section 1. Membership in the Assembly shall be granted to all whose professional responsibilities fall within the following categories:

A. Faculty. Faculty on appointments of half-time or more at the rank of instructor or above, or faculty equivalents with corresponding appointments according to University of Arkansas Board Policy 405.1 shall be members of the Assembly.

B. Administration, staff, and students. Administration, staff, and students as defined in Article I of the Bylaws shall be members of the Assembly.

C. Other membership. It is desirable to confer Assembly membership upon other positions within the administration, faculty, professional staff, non-professional staff, and student body, insofar as the duties of those positions contribute to the academic responsibility for which the campus exists. All such positions that qualify for Assembly membership shall be listed in Article I of the Bylaws.

D. UAM Campus. The University of Arkansas at Monticello (UAM) campus refers to any location where UAM courses of instruction are taught: Monticello, Crossett, McGehee, or any other location which may be added.

Section 2. Addition or deletion of Assembly members listed in Article I of the Bylaws shall be accomplished using the standard procedures for amendment of the Bylaws, except that voting for such addition or deletion shall be done on a position-by-position basis and shall be conducted by secret ballot.

ARTICLE IV

OFFICERS

Section 1. Officers. The officers of the UAM Assembly shall be the Chairperson, Vice Chairperson, Secretary, and Parliamentarian. All officers will serve a one-year term but may be re-elected to not more than two successive terms. The Chairperson and Vice Chairperson shall be elected from members of the Assembly who hold faculty appointments, but are not academic unit heads. The Secretary and Parliamentarian shall be elected from members of the Assembly.

Section 2. Vacancies in Office. In the event of a vacancy in the office of the Chairperson, the Vice Chairperson will assume the duties of that office. Vacancies in other offices of the Assembly will be filled by appointments by the Chairperson. In the event that both offices of the Chairperson and Vice Chairperson become vacant, the Parliamentarian shall call a special election to fill these offices. The membership of the Assembly must be notified at least five (5) days in advance of the special election, with nominations coming from the floor. In the event that more than two are nominated, the two receiving the most votes are to be placed in a run-off unless one receives a majority.

ARTICLE V

Section 1. Regular meetings. The UAM Assembly shall meet not less than two times during each fall semester and each spring semester. The Assembly may be called into regular meeting by either the Chairperson of the Assembly or the Chancellor. In addition, a regular meeting shall be called by the Assembly Chairperson upon petition by ten (10) percent of the members of the Assembly. Floor privileges are reserved for Assembly members. The agenda for all regular meetings of the Assembly shall be prepared and distributed by the Chairperson at least five (5) academic days before the meeting. Only items

on the agenda may be voted on. After the agenda has been cleared, the floor shall be open for matters of general discussion.

Section 2. Special Session. In the event of administrative or academic emergency, a special session of the Assembly may be called. Either the Chairperson of the Assembly or the Chancellor may call a special session. In addition, a special session shall be called by the Assembly Chairperson upon petition by ten (10) percent of the members of the Assembly. The calling of the special session is to provide a means for waiving the five-day (5) requirement for distribution of the agenda, as follows. Upon the announcement of and in conjunction with the call of a special session, the agenda for the session shall be distributed to all members of the Assembly; the agenda shall also be available for distribution at the beginning of the session. A quorum shall be required to call the special session to order. Following the call to order, a vote of Assembly sanction for waiving the five-day (5) distribution requirement of the agenda shall be taken. A three-fourths (3/4) vote of those present and voting shall constitute the Assembly's sanction for waiver; a failure to sanction waiver shall serve as adjournment of the special session. Following sanction for waiver, the special session can then be used for the conduct of Assembly business as established in this Constitution and Bylaws, except that special sessions cannot be convened for purposes of amendment of either the Constitution or the Bylaws.

Section 3. Minutes. Copies of the minutes of any regular meeting or special session of the Assembly must be distributed to the President of the University, posted on the UAM website, and deposited in the UAM library no later than five (5) academic days after the meeting. The rules of order shall be the current edition of Robert's Rules of Order-- except that normal rules of order may be suspended upon unanimous consent of those present.

Section 4. Legislative action. A simple majority of those present and voting, except as otherwise specified herein, shall be required for a measure to carry provided a quorum is present. A quorum shall consist of forty (40) percent of the Assembly members. Legislative action will proceed from the Assembly to the Chancellor, the President, and the Board of Trustees. Legislative action of the Assembly becomes effective at the end of two weeks, except that the Assembly may make any action effective immediately by declaring it to be an emergency by three-fourths (3/4) vote of those present and voting.

Section 5. Disapproval by the Chancellor. Any action of the Assembly may be disapproved by the Chancellor within two weeks after receipt of same. The Chancellor will notify the Assembly of such disapproval in writing. If the

Chancellor and the University organization are unable to reconcile their differences, the Assembly may, by a three-fifths (3/5) vote of those present and voting, provided that a quorum is present, appeal these differences to the President for mediation and to the Board of Trustees. If settlement is not achieved within thirty days, the President shall submit the issue to the Board of Trustees for resolution.

ARTICLE VI

AMENDMENTS

Section 1. Amendment procedures. The Constitution may be amended by the following procedure. Proposed amendments must be signed by ten (10) or more Assembly members and presented to the Assembly Chairperson who will distribute the proposed amendment to members of the Assembly at least ten (10) days before a regular meeting. A three-fourths (3/4) affirmative vote of Assembly members present and voting is required for approval of the proposed amendment. Any such proposed amendment or amendments shall become effective and be in operation when expressly approved by the Board of Trustees of the University or after approval by the Board of Trustees on a day specified therein.

THE BYLAWS OF THE CONSTITUTION OF THE UAM ASSEMBLY

(revised August 17, 2009)

The following are the Bylaws of the UAM Constitution.

ARTICLE I

MEMBERSHIP

Section 1. Assembly Membership.

In addition to membership in the Assembly as granted in Article III Section I of the UAM Constitution, membership in the Assembly shall be granted to all whose professional responsibilities fall within the following categories.

A. Administration.

The President of the University System shall be ex-officio, a member in the Assembly. Administrative membership is also granted to the chief administrative officers as follows:

Chancellor

Vice Chancellors

Academic Unit Heads

B. Staff.

Membership in the Assembly shall be granted to additional members of the staff whose professional responsibilities are of academic importance. Staff membership is specifically granted to the following:

Registrar

Dean of Students

Directors

C. Students.

The President of the SGA shall be a member of the Assembly. Additional student members shall be designated in the following manner. Each academic unit shall supervise an election in which the faculty of that unit elects one of its students to Assembly membership; the names of students so elected shall be communicated to the Assembly Chairperson by April 15. The SGA President shall appoint twelve additional students to serve as members of the Assembly; the SGA President will certify the names of students so appointed to the Assembly Chairperson effective May 1. The term of office for student members shall begin May 15.

All students shall serve a one-year term in the Assembly, and may be re-elected. In the event that a student Assembly member resigns or is otherwise unable to complete his or her term of office (either by graduation, withdrawal, suspension, or other cause of dissolution of association with the University), the SGA President shall appoint a student to fill the vacancy.

ARTICLE II

OFFICERS

Section 1. Election of officers.

Election of Assembly officers shall be conducted in the month of April, as follows. The Assembly Chairperson shall appoint a nominating committee from members of the Assembly prior to April 1. The nominating committee shall submit a slate of nominees for Assembly offices to all Assembly members five (5) academic days before the election date. At least two (2) members must be nominated for each position. Nominations from the floor are also permitted. In the event that more than two are nominated for a given position, the two receiving the most votes are to be placed in a run-off unless one receives a majority. The term of office shall begin May 15.

The Chairperson:

1. Shall be ex-officio a non-voting member of all standing committees, except the Nominating Committee, in which he or she is not granted full membership as described in Article III of these Bylaws;
2. Shall have the authority to appoint special committees;
3. Shall be ex-officio a non-voting member of all special committees.

ARTICLE III

COMMITTEES

Section 1. Scope and Purpose.

The work of the UAM Assembly shall be carried on in large part by the action of various committees. Committees of the Assembly are constituted to provide a forum in which a greater detail of attention can be given to tasks and matters before the Assembly. As such, all Assembly committees shall be empowered to conduct investigations, make recommendations, and formulate legislation on matters under their consideration. The actions of all committees, except the Committee on Committees and those reporting directly to the Chancellor, are subject to Assembly approval and must be reviewed by the Assembly at its next regularly scheduled meeting.

Section 2. Committee Membership.

Membership on Assembly committees, except the Committee on Committees, shall be by appointment by the Committee on Committees, and shall carry a two-year term beginning May 15. Within each committee, terms will rotate such that an alternate half of each committee shall be up for appointment each year. Members of the Executive Council shall not be eligible for committee membership.

Section 3. Committee Organization.

The Assembly Chairperson will call a meeting of all committees, except the Faculty Committee on Dismissals, no later than September 15 for the purpose of electing a Chairperson and Recording Secretary. Each committee shall meet, elect officers, and report the results to the Assembly Chairperson within five (5) academic days.

Section 4. Committee Operating Procedures.

Each standing committee shall develop a set of operating procedures, and shall report those operating procedures to the Assembly for approval. Similarly, any subsequent revision in the operating procedures shall be reported to the Assembly for approval. Copies of current operating procedures shall be maintained by the Chairperson of the Assembly, posted on the UAM website, and deposited in the UAM library no later than five (5) academic days after approval by the Assembly.

Section 5. Standing Committees.

The following list describes the committees, their composition, and areas of authority. As far as committee composition is concerned, the term "faculty member" refers to all faculty members of the Assembly, including academic unit heads, unless specifically stated otherwise. Academic units are defined as schools, divisions, and colleges unless specifically

stated otherwise. Academic unit will not refer to the Division of General Studies unless specifically stated otherwise. Student and staff members of the Assembly Committees are not required to be members of the Assembly.

COMMITTEE ON COMMITTEES

Composition:

UAM Assembly Chairperson, President of the Student Government Association, one faculty member elected by members of each academic unit, and one staff member elected by staff members of the Assembly. The Chairperson of the Assembly shall call for the election of the Committee on Committees by September 15. Members shall serve a one-year-term, but may be re-elected.

On or before April 15, the SGA President shall submit to the Chairperson of the Assembly a list of students who expect to be enrolled for the subsequent fall and spring semesters, and who are eligible for appointment to Assembly Committees.

Function:

Appoint the membership to Assembly Committees. On or before May 1, the Committee on Committees will notify the Assembly Chairperson of all committee appointments. The Assembly Chairperson will notify individuals of their committee assignment and the entire Assembly of committee appointments. All Committee appointments will be effective May 15. Appointments may be made at other times to serve the unexpired terms. Upon notification, the Committee on Committees will replace individuals who miss three (3) consecutive meetings of their committees.

ACADEMIC APPEALS COMMITTEES

Composition:

The UAM Appeals Committee shall be composed of seven (7) full-time faculty members from seven different academic units and seven alternates who shall attend meetings when principal members cannot. The alternates are to come from the same academic unit as the principal members. The Committee on Committees, as governed by the Assembly Constitution, will select the committee members. The Registrar will serve as a non-voting ex-officio member.

The UAM College of Technology-Crossett and the UAM College of Technology-McGehee Appeals Committees shall be composed of five (5) full-time faculty members at each location. Alternates may be selected from the same academic unit as the original member. The Committee on Committees, as governed by the Assembly Constitution, will select the committee members. All committee members hearing an academic appeal must

originate from the faculty identified as approved committee members. Arbitrary replacements are not permitted.

Function:

These committees are responsible for hearing student appeals of academic probation, suspension, and other academic matters. They shall also hear appeals of grades if mediation by the school dean/division chair or Vice Chancellor for Academic Affairs cannot resolve a dispute. Decisions of the Academic Appeals Committees are final and cannot be appealed to the Assembly, any administrator, or Board.

ATHLETIC COMMITTEE

Composition:

Director of Athletics, Senior Woman Administrator (SWA), Faculty Athletic Representative (FAR), five faculty members, and two students from the Student Athletic Advisory Committee (SAAC).

Function:

This committee is responsible for enforcement of the athletic rules and regulations of the Gulf Coast Conference and the National Collegiate Athletic Association. The committee shall also provide input regarding the addition or replacement of coaching personnel. This committee shall review and provide guidance to the University on the overall athletic program.

CURRICULUM AND STANDARDS COMMITTEE

Composition:

One faculty member (excluding academic unit heads) from each academic unit, two students, and a non-voting academic unit head representative elected by the Academic Council. Student members may not be from the same academic unit.

Function:

This is an institution-wide committee whose primary responsibility is the supervision of University academic standards and academic unit curriculum development at the undergraduate level. The committee makes recommendations to the Assembly on new major and minor programs, changes in existing programs, general changes in academic policy, matters pertaining to the General Education program, general and specific degree requirements, and course modifications, additions, and deletions. The Committee also makes recommendations to the Assembly on admissions standards for satisfactory progress and granting of honors, and academic thresholds for probation and dismissal. This

committee is also charged with planning and implementing UAM's schedule, and with editorial responsibility for the academic sections of the UAM catalog.

In general, academic unit heads are responsible for representing proposed program changes to this committee. However, others may make recommendations for program changes or general changes in academic policy provided the academic unit head involved receives advance notice and has the opportunity to be present whenever matters concerning his or her academic unit are to be discussed.

Agenda and minutes shall be sent to the Chancellor, Vice Chancellors, and all academic unit heads.

TECHNICAL PROGRAMS' CURRICULUM AND STANDARDS COMMITTEE

Composition:

Two full time faculty members from each UAM College of Technology and one faculty member from the Monticello campus. The Associate Vice Chancellor for Technical Education will serve as a non-voting member.

Function:

The primary responsibility of this committee is the supervision of University technical program standards and technical curriculum development. The committee makes recommendations to the Assembly on new Certificates of Proficiency, Technical Certificates, and Associate of Applied Science programs to be offered by the Colleges of Technology as well as changes to existing programs, general changes in technical academic policy, general and specific credential requirements, course modifications, additions, and deletions.

In general, the Vice Chancellor for each technical campus is responsible for presenting proposed program changes to this committee; however, others may make recommendations for program changes or general changes in technical program policy provided the Vice Chancellors for technical programs receive advance notice and have the opportunity to be present whenever matters concerning his or her technical programs are to be discussed.

The agenda and minutes of all meetings of the Curriculum and Standards Committee for Technical Programs shall be sent to the Chancellor, Provost, the Chairperson of the Assembly, the Vice Chancellors of each UAM College of Technology, and the Associate Vice Chancellor for Technical Education.

FACULTY COMMITTEE ON DISMISSALS

Composition:

All tenured faculty members of the Assembly. Academic unit heads are ineligible.

Function:

This committee is formed to provide a pool from which a committee of faculty members can be selected to conduct an inquiry into a dismissal notice if requested by a faculty member or to serve as a committee to conduct a formal dismissal hearing, if formal proceedings become necessary. Committee selection and proceedings will be in accordance with University of Arkansas Board Policy 405.1 and the University of Arkansas at Monticello Guidelines on Appointment, Reappointment, Promotion, Tenure, and Dismissal dated July 1, 1980, and any subsequent revisions.

FACULTY EQUITY AND GRIEVANCE COMMITTEES

Composition:

The UAM Faculty Equity and Grievance Committee shall be composed of seven (7) full-time faculty members. The UAM College of Technology-Crossett and the UAM College of Technology-McGehee Faculty Equity and Grievance Committees shall be composed of five (5) full-time faculty members at each location.

Function:

This committee is designed to conduct an inquiry into individual faculty grievances when requested by the Chancellor in accordance with Step 2 of the academic grievance procedure as listed in the Faculty Handbook. A "grievance" means a dispute, concerning terms and conditions of the employment arising from any administrative decision which the academic employee claims is in violation of rights under, or a failure to apply, established University personnel regulations, policies, or practices, or which results from a misinterpretation or a misapplication thereof. Not included are matters of non-reappointment, dismissal, award of tenure, and promotions. Procedures to be followed are listed in the Faculty Handbook.

FACULTY RESEARCH COMMITTEE

Composition:

Five faculty members.

Function:

This committee shall be responsible for seeking and recommending to the Vice Chancellor for Academic Affairs, the Assembly and ultimately to the Chancellor, the distribution of available research funds. The committee is also directed to actively promote research at UAM and to cooperate with other University of Arkansas campuses in this regard.

LIBRARY COMMITTEE**Composition:**

Director of the Library, one faculty member from each academic unit, and two students.

Function:

The Committee shall recommend practices which will facilitate general library development. Important among these is the establishment of proper guidelines for the acquisition of library materials. Funds for this purpose will be equitably distributed among the various faculties.

STUDENT AFFAIRS COMMITTEES**Composition:**

The UAM Student Affairs Committee shall be composed of three faculty members, two members from the Division of Student Affairs, and three students. The UAM College of Technology-Crossett and the UAM College of Technology-McGehee Student Affairs Committees shall be composed of three faculty members, an administrator from Student Services, and three students at each location.

Function:

This committee recommends policy concerning all non-academic student activities and student organizations. Its duties are to recommend certification of UAM organizations for official recognition, to identify or recognize sponsors or advisors for student organizations, to recommend standards of behavior for UAM students, and to otherwise promote the establishment of a University environment conducive to student welfare. The Committee deals with appeals of suspension or revocation of official UAM recognition for student organizations after all other avenues have been explored. Ordinarily, the decisions of this committee are to be regarded as final and effective immediately; however, the committee decisions may be appealed to the Assembly.

TEACHER EDUCATION COMMITTEE

Composition:

Dean, School of Education; five (5) faculty from academic units that prepare teachers; One (1) each from Arts and Humanities, Mathematical and Natural Science, and Social and Behavioral Science, and two (2) members-at-large from these units; five (5) faculty from the School of Education and two (2) currently enrolled students in good standing with both students being appointed by the UAM Student National Education Association.

Function:

This committee shall formulate policy, review programs, and provide institution-wide guidance within the purview of teacher education. The Committee also makes recommendations to the Curriculum and Standards Committee on curriculum matters related to teacher education via the curriculum review process.

ARTICLE IV

COUNCILS

Section 1. THE UAM FACULTY COUNCIL

A. Composition.

The UAM Faculty Council shall consist of all full-time faculty holding rank of instructor or above.

B. Authority.

The Faculty Council shall exercise general advisory powers on all matters dealing solely with faculty. These matters include such things as promotion, tenure, fringe benefits, and faculty rights and privileges. Proposals submitted before the Faculty Council shall be considered passed upon receiving a simple majority of those members present and voting.

All actions of the Faculty Council are sent directly to the Chancellor and through the Chancellor to the President of the University of Arkansas system.

C. Meetings.

The Faculty Council may be called into session by the Vice Chairperson of the Assembly as the need arises. In addition, a session will be called by the Vice Chairperson of the Assembly upon petition by five Faculty Council members.

The stated purpose of the called session will be prepared and distributed by the Assembly Vice Chairperson at least five (5) academic days before the meeting.

D. Officers.

The Officers of the Faculty Council shall be a Chairperson and a Secretary and each shall be selected from the tenured faculty except academic unit heads. The Assembly Vice Chairperson shall serve as the Chairperson of the Faculty Council. Failure of the Assembly Vice Chairperson to be eligible for the Faculty Council Chair will result in the election of a Chairperson *Pro Tem*. The Assembly Vice Chairperson will serve as the moderator of the election of the Chairperson *Pro Tem* at the beginning of the called meeting. The Chairperson *Pro Tem* will hold office until the Faculty Council votes that the purpose of the called meeting has been completed. The Secretary of the Faculty Council shall be nominated by the Faculty Council Chair and approved by the Council.

Section 2. UAM GRADUATE FACULTY AND THE UAM GRADUATE COUNCIL

A. Organization.

The UAM Graduate Faculty and the UAM Graduate Council are organized under the statement of Organization of Graduate Studies, University of Arkansas at Monticello, dated July 11, 1986, and subsequent revisions thereof.

B. The UAM Graduate Faculty.

The UAM Graduate Faculty shall consist of the President of the University of Arkansas System, the Chancellor, the Vice Chancellor for Academic Affairs/Dean of Graduate Studies, and all members of the UAM faculty that have been granted graduate faculty status according to the qualifications established in the Statement of Organization. The Graduate Faculty shall have the legislative authority for all graduate academic matters, and shall operate through delegation of legislative authority to the UAM Graduate Council while retaining the interrelationship between the Graduate Faculty and the Graduate Council are established in the Statement of Organization of Graduate Studies.

C. The UAM Graduate Council.

The UAM Graduate Council shall serve as the deliberative body and legislative authority representing and responsible to the UAM graduate faculty. The Graduate Council shall consist of one representative from each academic unit approved to offer graduate courses, two members-at-large, plus the Vice Chancellor for Academic Affairs/Dean of Graduate Studies who will serve as an ex-officio voting member. The UAM Graduate Council shall establish its own governance and interpret its own legislation, and shall meet not less than once per semester.

ARTICLE V

SYSTEM COMMITTEES

Section 1. Composition.

Systemwide standing committee members will be elected by the local governance body which deals with their particular functions as determined by the UAM Assembly Referral Committee, unless authority has been given to the Chancellor by the University of Arkansas Board and/or President to appoint systemwide committee members.

ARTICLE VI

AMENDMENTS TO THESE BYLAWS

Section 1. Amendment Procedures.

The Bylaws may be amended by the following procedures. Proposed amendments must be signed by ten (10) or more Assembly members and presented to the Assembly Chairperson who will distribute the proposed amendment to members of the Assembly at least ten (10) days before a regular meeting. A three-fifths (3/5) vote of Assembly members present and voting is required for approval of the proposed amendment. Any such proposed amendment or amendments shall become effective and be in operation upon passage by the Assembly and approval by the Chancellor.

Approval by the President or the Board of Trustees of the University is not required for changes in the Bylaws that are approved by both the Assembly and the Chancellor. However, should the Chancellor veto any proposed changes in the Bylaws, the provisions under Article V Section 5 of the UAM Assembly Constitution shall come into effect and shall supersede the approval provisions herein stated.

ARTICLE VII

UAM PUBLICATIONS

All UAM publications which contain academic policy and procedures, including, but not limited to the UAM Catalog, the UAM Student Handbook, and the UAM Faculty Handbook, must be submitted for approval to the Curriculum and Standards Committee prior to final publication by the academic or administrative unit that supervises their publication. In the event that the UAM catalog is ambiguous on matters of policy or procedure, the appropriate Assembly committees and the Vice Chancellor for Academic Affairs will work together to resolve said ambiguity.

APPENDIX B - Promotion and Tenure Portfolio Guidelines

Schedule for Promotion and Tenure Recommendations
Promotion and Tenure Cover Sheet/Checklist
Guidelines for Preparing Curriculum Vita

PROMOTION AND TENURE SCHEDULE

December 1	Faculty wishing to be considered for promotion and /or tenure must have an updated vita and other supporting documents on file with the unit head.
December 15	<p>Following a review of material on file for each eligible faculty, the unit head forwards recommendations for promotion / tenure to the Provost and Vice Chancellor for Academic Affairs.</p> <p>The unit head notifies the candidates of recommendation for promotion / tenure.</p>
December 18	<p>Faculty not receiving a recommendation may file a written appeal with the Provost and Vice Chancellor for Academic Affairs for further consideration.</p> <p>If a candidate appeals, the unit head will forward the recommendation for denial and all relevant documents to the Provost and Vice Chancellor for Academic Affairs.</p>
First Day of Class for Spring Semester	The Provost and Vice Chancellor for Academic Affairs forwards the unit head=s recommendation and any appeals to campus-wide review committee for each candidate.
January 25	Each member of each committee submits an unsigned recommendation to the Provost and Vice Chancellor for Academic Affairs.
February 1	<p>The Provost and Vice Chancellor for Academic Affairs submits recommendations to the Chancellor.</p> <p>The Provost and Vice Chancellor for Academic Affairs notifies each candidate of his / her recommendation.</p>
February 5	Candidates receiving a negative recommendation may submit a written appeal to the Chancellor.
February 10	<p>The Chancellor submits a recommendation on each candidate to the President.</p> <p>The Chancellor notifies each candidate of his / her recommendation.</p>
Five (5) days after notice of negative recommendation from the Chancellor	<p>Candidates receiving a negative recommendation from the Chancellor may file a written appeal with the President.</p> <p>Upon notification of a candidate filing an appeal with the President, the Chancellor will forward submitted documents and recommendations to the President.</p>

Deadlines which fall on a weekend or vacation day are extended to the next working day. In this case, candidates are to have at least three days to file an appeal of a unit head's denial of recommendation and at least four days to file an appeal of the Provost and Vice Chancellor for Academic Affairs' denial of recommendation.

PROMOTION AND/OR TENURE CHECKLIST

For further guidance see the Faculty Handbook Chapter 3.

This checklist provides a basic outline for arranging tenure and promotion documents.

Name _____ Academic Unit _____

Rank _____ Date _____

Date of appointment/last promotion _____

Checklist:

- _____ Letter from applicant requesting promotion and/or tenure with an updated vita and other supporting documents on file with Unit Head by 12/01
- _____ Letter of recommendation from school/dean/division chair/library director due to Provost by 12/15
- _____ Faculty Promotion Committee Selection Form due to Provost by 12/15
- _____ Recommendation from all tenure-track faculty in unit due to Provost by 12/15
- _____ Updated curriculum vitae (See Curriculum Vita format section.)
- _____ Current and previous Faculty Self-Evaluations
- _____ Evaluation(s) by school/dean/division chair/library director
- _____ Documentation of effective teaching
 - _____ Peer observations and evaluations
 - _____ Revised syllabi
 - _____ Student evaluations
 - _____ Other appropriate materials
- _____ Documentation of scholarship, research, and creative activities
 - Complete bibliographic citations are satisfactory.
 - Additional information may be requested.
- _____ Documentation of service
 - _____ Service to the university
 - _____ Service to the community
 - _____ Service to the profession
- _____ Documentation of professional renewal
 - _____ Description of short-term goals
 - _____ Description of long-range plans
 - _____ Description of steps completed in professional renewal

The candidate should submit a promotion/tenure file that is complete, concise, orderly, and neat. The primary Promotion and Tenure Portfolio should normally not be larger than a standard 8 1/2 x 11" x 3" binder.

If the candidate wishes, an Appendix Portfolio with supplemental material may be submitted. If necessary, promotion and tenure reviewers may request additional information and/or verification documents from candidates.

It is recommended that the candidate review a Promotion and Tenure Portfolio of a UAM colleague who has been recently promoted and/or tenured.

FORMAT TO BE USED IN PREPARING CURRICULUM VITA

- I. Name
- II. Post-secondary education history

Name of Institution	Years Attended	Degrees Granted
---------------------	----------------	-----------------
- III. Employment experience (beginning with UAM as present employer)

Name of Employer	Title and Rank Held	Dates
------------------	---------------------	-------
- IV. Titles of Thesis and Dissertation
- V. Professional development
 - A. Significant attendance at and participation in professional meetings (papers given presentations, etc.)
 - B. Workshops and institutes attended for the purposes of professional development
 - C. Publications (those which were referred should be asterisked, and copies must be attached and will be returned)
 - D. Professional Consulting Opportunities
- VI. Professional recognition, honors, grants
- VII. Professional service
 - A. To the UAM community
 - B. To the public
 - C. To the profession
- VIII. Other information relevant to candidacy

APPENDIX C – Annual Evaluation Procedures and Forms

Annual Evaluation Timetables by Faculty Category

Annual Evaluation Course of Action

Annual Evaluation Procedures

Annual Faculty Evaluation by Faculty Peer or Chair/Dean/Director Form

Annual Faculty Self Evaluation Form

**ANNUAL EVALUATION TIMETABLES
BY FACULTY CATEGORY**

Category			
I	II	III	
Oct. 1	Oct. 1	Oct. 1	Unit Head notifies faculty of annual evaluation process and timetable.*
Nov. 15	Oct. 15	Dec. 1	Completed Faculty Self-Evaluations submitted to the Unit Head.
Dec. 1	Nov. 1	Dec. 15	Peer evaluations submitted to Unit Head.*
Dec. 4	Nov. 4	Dec. 18	Completed peer evaluations returned to individual faculty.
Jan. 25	Nov. 22	Feb. 20	Unit Head conducts evaluations and faculty consultations. Individual faculty must receive the tentative evaluation at least one day prior to the consultation.
Feb. 1	Dec. 1	Feb. 28	Unit Head submits evaluation and supporting material to VCAA. Optional faculty written rebuttal to VCAA.
Feb. 24	Dec. 10	Mar. 10	Faculty notified of final evaluation and current information placed in permanent faculty file.

Deadlines which fall on a weekend or vacation day are extended to the next working day.

Category I Tenure track faculty in the first year of service. Notice of non-reappointment is due by March 1.

Category II Tenure track faculty in the second year of service. Notice of non-reappointment is due by December 15.

Category III All other faculty. Non-tenure faculty notice of non-reappointment is due by March 15.

* Teaching represents the unifying mission of the University throughout the faculty and the Academic Units. A minimum of one classroom observation is required per evaluation period, by a peer and/or chair/dean (or designee) for tenure-track faculty and instructors for the first five years of their appointment.

ANNUAL EVALUATION COURSE OF ACTION

- I. Faculty member submits Faculty Self-Evaluation and supporting materials to academic unit head. (A self-evaluation form is provided)
- II. Academic unit head reviews Self-Evaluation and forwards them to peer evaluation committee. (A peer-evaluation form is provided)
- III. Peer evaluation committee members independently complete their assessments and return signed evaluations and supporting materials to the unit head.
- IV. Academic unit head reviews Faculty Self-Evaluations and supporting materials, peer evaluations, results of student evaluations, and prepares the tentative evaluation. (A faculty evaluation form is provided)
 - A. Faculty shall have access to their peer evaluations and the academic unit head's tentative evaluations before consultations.
 - B. Unit head meets with each faculty member to discuss all issues relating to evaluation.
 - C. An opportunity is provided for faculty to submit written responses.
- V. Provost and Vice Chancellor for Academic Affairs (VCAA) receives from the academic unit head final evaluations, including all supporting materials.
 - A. Provost and VCAA reviews each evaluation and completes final assessment.
 - B. Provost and VCAA sends copy of final evaluation to each faculty member.
- VI. The Faculty Self-Evaluation, Peer, Student, Academic Unit Head, and Provost and VCAA's evaluations, and all written responses provided by the faculty to any of the evaluations will be filed in each faculty member's permanent file.

ANNUAL FACULTY EVALUATION PROCEDURES At the University of Arkansas at Monticello

Introduction

As discussed in the UAM Faculty Handbook, the annual review of each faculty member shall provide the primary basis for the academic unit head's recommendations relating to merit salary adjustments, successive appointment for non-tenured faculty, promotion and tenure. Furthermore, this annual review is to provide guidance and assistance to all faculty in their professional development and academic responsibilities in the areas of (1) teaching, (2) service, (3) scholarship and (4) professional renewal. See Chapter Three for an explanation of the criteria for these four areas.

Teaching

Teaching is the primary duty of most UAM faculty and it is essential that quality teaching be encouraged, recognized, and rewarded. Teaching may be defined in terms of providing for student learning in a variety of ways, including classroom or clinical instruction, team teaching, independent study or research supervision, multi-disciplinary teaching activities, course preparation and teaching strategies.

Service

Service is defined in terms of service to the university, the profession, and the community, and may include activities such as work on university, departmental and professional committees; discipline-related community involvement; university, departmental, professional and administrative service; curriculum development; student advising and recruitment; direction of in-service education courses or programs; and public relations.

Professional Growth (Scholarship) and Development (Renewal)

Professional Growth and Development is defined in terms of those activities and work products that contribute to the professional growth of the faculty member and the academic discipline. Activities in this category may include, but are not limited to, active participation in and/or recognition by professional organizations; attendance at, participation in or sponsorship of workshops, institutes, symposia and conferences; research activities; writing grant proposals; receiving grant funds; publications; continuing academic preparation; and participation in professional activities external to the university which enhance performance in assigned responsibilities (examples include, editing, consulting, and clinical practice). In fields where appropriate, performances, concerts, exhibitions, and other creative endeavors contribute to professional growth and development.

The Evaluations

PROBATIONARY FACULTY

Tenure-track faculty prior to receiving tenure and non-tenure-track faculty in their first six years of service will follow the following procedures. Teaching represents the unifying mission of the university throughout the faculty and the academic units.

Student Evaluation

The role of student evaluations is two fold: 1) to help the instructor improve the course and 2) to help administrators make more informed judgments about teaching effectiveness when making recommendations about salary, promotion and tenure. Students will assess each course late in the fall and spring semester using UAM's standardized format. Should a faculty member teach multiple sections of the same course during the year, departmental faculty shall decide if all sections of that course shall be evaluated. After all campus grades are submitted, the results of each evaluation will be sent to the academic unit head. These results will then be distributed to the individual faculty member.

Faculty Self-Evaluation

The role of the Faculty Self-Evaluation (using the standardized format) is to present the faculty member's accomplishments of the previous year. This Faculty Self-Evaluation will be used for peer and administrative evaluations. It is the duty of each faculty member to demonstrate effective performance, as determined by departmental criteria, in all three (3) areas, and it is advisable to include as much detail as necessary for a fair and objective appraisal. Emphasis should be placed on the period since the last evaluation, or for new faculty, since employment. If requested, the academic unit head will offer advice concerning formation of the evaluation. If there are legitimate mitigating factors that have limited the faculty member's performance, or if there are contributions to the department or university which are not presented elsewhere, statements should be attached to the Faculty Self-Evaluation which clearly and concisely explain such factors.

Faculty Peer Evaluation

The role of peer assessment is to provide information based on the Faculty Self-Evaluation and familiarity with other documental knowledge. Each faculty member will be evaluated by a committee of at least three peers selected from within the department, if numerically possible. The method of peer selection is to be determined by the faculty of each department, except that the faculty member being evaluated will be allowed to choose at least one member of the committee. In departments with fewer than three faculty members, two additional faculty from other departments will be chosen, one by the academic unit head and one by the faculty member being evaluated. The academic unit head will review each faculty member's submissions and then forward them to the faculty responsible for conducting the peer evaluation. Each member of the evaluation committee will study all documents provided by the faculty member, consulting with the faculty member if necessary, and then submit to the academic unit head a signed, independently-conducted evaluation (using the standardized format).

Academic Unit Head's Evaluation

The academic unit head's role is to review the Faculty Self-Evaluation and supporting materials, in conjunction with the peer evaluations and results of student evaluations, plus any other

documental knowledge, and to make recommendations to the Provost and Vice Chancellor for Academic Affairs relating to each faculty member concerning: 1) merit salary adjustments, 2) successive appointment for non-tenured faculty, and 3) guidance and assistance concerning the faculty member's professional development and academic responsibilities. The academic unit head will prepare a Faculty Evaluation (using the standardized format). The Head will meet with each faculty member to discuss all issues relating to the evaluation, and must provide a copy of the tentative evaluation to the faculty member. Faculty shall have prior access to their peer and tentative evaluations. An opportunity is provided for any faculty member to submit a written response.

Provost and Vice Chancellor for Academic Affairs' Evaluation

The role of the Provost and Vice Chancellor for Academic Affairs (VCAA) is to review the material submitted and, in consultation with the academic unit head, make the final decision relating to each faculty member concerning: 1) merit salary adjustments, 2) successive appointment for non-tenured faculty, and 3) guidance and assistance concerning the faculty member's professional development and academic responsibilities. The material the Provost and VCAA receives will include the academic unit head's final evaluation and all supporting materials (including the Faculty Self-Evaluation, with all supporting materials and the student and peer evaluations). The Provost and VCAA will review each individual's evaluation and then complete the assessment (using the standardized format).

NON-PROBATIONARY FACULTY

Tenured faculty and non-tenure-track faculty who have completed six years of service are required to undergo the full evaluation process at least once every five years. During the interim the evaluation will consist of the following:

Student Evaluation

Faculty will be evaluated by at least one class per year. The course will be chosen by the academic unit head. The faculty member may request an evaluation by additional classes of his/her choice.

Faculty Self-Evaluation

The faculty self-evaluation will consist of an update and/or addendum of relevant activities occurring during the previous year. It will include professional plans for the next year.

Faculty Peer Evaluation

Each faculty member will be evaluated by at least one peer during the year. The peer reviewer will be appointed by the academic unit head. The faculty member may request additional peer reviewers of his/her choice.

Academic Unit Head's and Provost and Vice Chancellor for Academic Affairs' Evaluation

The administrative evaluations will consist of an update of the previous evaluation.

Complete Evaluations

A faculty member retains the option to have a full evaluation in any year by notifying the academic unit head by November 15. Any faculty member receiving an Unsatisfactory or Needs Improvement rating on Overall Performance must have a full evaluation the following year. Faculty hired with tenure will submit a partial evaluation during their first semester and a complete evaluation during the second year.

Evaluation Disposition

The academic unit head and Provost and VCAA will each provide to the faculty member a copy of their respective final evaluations. The Faculty Self-Evaluation, Peer, Student, academic unit head, and Provost and VCAA's evaluations, and all written responses provided by faculty to any of the evaluations will be filed in each faculty member's permanent file. Since the Annual Faculty Evaluations will also be used in assessing faculty for tenure and promotion, each faculty member's permanent file should contain the Faculty Self-Evaluation and the Student, Peer and administrative evaluations covering the previous 6 years.

The Process

Utilizing Evaluations

The Provost and VCAA, in consultation with the academic unit head, will make the final decision relating to: 1) merit salary adjustments, 2) successive appointment for non-tenured faculty, and 3) guidance and assistance to each faculty member concerning professional development and academic responsibilities. Faculty who receive "needs improvement" or "unsatisfactory" assessments in the categories of teaching, service, scholarship and professional renewal will be required to work with their academic unit head to address the deficiencies before the next annual evaluation. Non-tenured faculty who receive non-reappointment or dismissal notices will also work with their academic unit head to complete their present assignments satisfactorily.

Monitoring, Evaluating and Updating

Should individual faculty or administrators deem the process to be ineffective or unfair, they should submit a signed, written report to the Chair of the Faculty Council detailing the problems and recommending solutions. The Chair of the Faculty Council will then study all reports and seek counsel with Officers of the Academic Council and Faculty Council. If the problems are verifiable, the Chair will convene an ad hoc committee of the Faculty Council to assess the problems and recommend solutions to the Faculty Council prior to the end of the spring semester. The Chair will submit a written response to all individuals initiating reports.

Annual Faculty Evaluation by Faculty Peer or Chair/Dean/Director

Faculty Member: _____ Rank: _____

Division/School/Library: _____

Faculty Peer/Chair/Dean/Director: _____

Evaluation Period: _____ Date: _____

Background, Instructions & Guidelines: Annual evaluation provides the basis for recommendations relating to salary, successive appointment, promotion and tenure. Annual evaluation also provides for guidance to faculty in their professional development and academic responsibilities.

1. Teaching (See Faculty Handbook Chapter 3; Appendix C)

___ Excellent; ___ Good; ___ Satisfactory; ___ Needs; ___ Improvement; ___ Unsatisfactory

Check all that apply.

___ Classroom observation;

___ Faculty self-evaluation;

___ Student evaluation;

___ Peer evaluation;

___ Other (specify)

Add narrative statement in space below and add additional sheets if necessary describing strengths/improvement areas.

2. Scholarship (See Faculty Handbook Chapter 3; Appendix C)

___ Excellent; ___ Good; ___ Satisfactory; ___ Needs; ___ Improvement; ___ Unsatisfactory

Add narrative statement in space below and add additional sheets if necessary describing strengths/improvement areas.

3. Service (See Faculty Handbook Chapter 3; Appendix C)

___ Excellent; ___ Good; ___ Satisfactory; ___ Needs; ___ Improvement; ___ Unsatisfactory

Add narrative statement in space below and add additional sheets if necessary describing strengths/improvement areas.

4. Professional Renewal (See Faculty Handbook Chapter 3; Appendix C)

___ Excellent; ___ Good; ___ Satisfactory; ___ Needs; ___ Improvement; ___ Unsatisfactory

Add narrative statement in space below or on additional sheets if necessary describing strengths/improvement areas.

5. Overall Performance.

___ Excellent; ___ Good; ___ Satisfactory; ___ Needs; ___ Improvement; ___ Unsatisfactory

Add narrative statement in space below and add additional sheets if necessary describing strengths/improvement areas.

Signature Section – Part 1:

Faculty Member: _____ Date: _____

Dean/Chair/Director: _____ Date: _____

The above signatures signify that this evaluation has been read by the faculty member and discussed with the academic unit head. The signatures do not mean that the evaluated member is in total agreement with the results of the evaluation.

Signature Section – Part 2:

The Provost and Vice Chancellor for Academic Affairs may choose to provide comments in the space below on the above evaluation:

Provost and Vice Chancellor for Academic Affairs Signature: _____

Date: _____

FACULTY SELF-EVALUATION FORM

Name _____ Department _____

Rank _____ Date _____

The activities described below have all occurred in _____ except as noted.
(Calendar Year)

I. Teaching

- A. How do you communicate course objectives to your students? How do your examinations and other student evaluations reflect these objectives? (Please provide documentation.)
- B. Demonstrate how your courses comply with departmental expectations, e.g. if your course is a prerequisite for another course; provide evidence that students are adequately prepared to progress.
- C. Describe how you require students to “learn outside the classroom.” Do you require research, outside projects, or interdisciplinary assignments, etc.?
- D. What activities do you require of your students which are designed to improve their (1) oral and written communication skills, and (2) quantitative and problem-solving skills?
- E. Describe how you have modified and/or improved your courses during this past year. (Please provide documentation.)
- F. What are your opportunities and strategies to improve retention?
- G. Do you serve as an academic advisor? If yes, for which program do you advise? How many advisees do you advise? What do you do to ensure that your advisees are receiving good advice?
- H. In summary, what has been your greatest contribution as an instructor during this past year?
- I. List any other contribution to teaching not mentioned above.
- J. List all agencies/programs to which you have submitted proposals for the funding of instructional programs.

II. Scholarly Activity and Professional Development

- A. List all publications during this period. Provide separate bibliographic listings for refereed and non-refereed publications.
- B. Describe any off campus duty assignments, courses taken, workshops attended, etc.
- C. List all presentations to professional organizations.
- D. Describe any professional consulting activity during this period.

- E. Research Support. List all proposals funded by:
 - 1. UAM
 - 2. External agencies
 - 3. Proposed
- F. In what other professional development activities have you engaged during this period?

III. Service

- A. Institutional
Describe your on-campus service activities, e.g. committee membership, sponsoring student groups, etc.
- B. Professional
 - 1. List professional organizations of which you are a member. Describe your contributions to these groups during this period, e.g. offices held, committee memberships, etc.
 - 2. Describe your professional contributions to the community. Do not include church or civic club membership, etc.
- C. Describe any professional service activities not been listed above.

IV. Plan for Improvement (to be accomplished prior to next faculty evaluation)

- A. Teaching
- B. Research
- C. Service

APPENDIX D – Hornaday Outstanding Faculty Award

HORNADAY OUTSTANDING FACUTLY AWARD

The Hornaday award was created in 2010 through an endowment funded by a donation from Charlotte Cruce and Dan Hornaday. Both of the Hornadays are graduates of Arkansas A & M and have many fond memories of the outstanding faculty that mentored and advised them through graduation and on to very successful careers with Exxon. Earnings from the investment of the principal of the endowment are used annually to provide a recognition certificate and a cash award to the recipient.

The **Hornaday Outstanding Faculty Award** provides a monetary award to recognize and reward faculty excellence. The award consists of a cash gift and a certificate. One award may be given annually. Finalists for the award will receive a certificate.

I. Nature of Award – The Hornaday Outstanding Faculty Award recognizes an individual who demonstrates excellence in the areas of teaching, scholarship, and service.

A. *Excellence in Teaching*: To recognize, encourage, and reward superior teachers 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. More than a popularity contest, it distinguishes those who maintain high expectations of their students and who ensure academic rigor in their courses.

B. *Excellence in Research and Scholarship*: To recognize, encourage, and reward those individuals whose research, scholarship, and creative efforts have been particularly successful and are so recognized locally, regionally, and/or 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. *Excellence in Public Service*: To recognize, encourage, and reward those individuals who have brought credit to the University of Arkansas at Monticello through their successful efforts in service to the community, state, or nation in areas of public interest. Their achievements in serving the public interest should have been particularly successful and should have been recognized locally, regionally, and/or nationally.

II. Number and Frequency of Award

A. There may be one award presented annually.

III. Selection

A. Eligibility

1. Persons with faculty status as defined in the current faculty handbook, holding full-time appointments, evaluated annually, and teaching at least 12 hours annually may be nominated.
2. Faculty with administrative responsibilities are ineligible.
3. Award recipients will not be eligible to receive the award for the following five years.

B. Nominations

1. Faculty considered for the award shall be identified through a nomination.
2. Any member of the University community -- faculty, administration, staff, students, and alumni -- may nominate a faculty member.
3. Nominations should include the nominee's name, a nomination statement, the nominator's name and/or signature.
4. Nominations may be submitted either in writing or by electronic submission.

IV. Procedure

A. Administration of the award process

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

B. Solicitations of nominations

1. The Chancellor shall call for nominations at the first of February and collect all nominations received during the month.

C. Administration of the judging process

1. Nomination Committee

A. The Nomination Committee will consist of four members:

- A student appointed by the SGA president
- The faculty member receiving the Hornaday Outstanding Faculty Award from two years previous, who also serves as convener/chair
- A member of the administration chosen by the Chancellor
- A faculty member appointed by the Faculty Assembly Chair.

B. By the end of March, the Nomination Committee will submit up to five Hornaday Outstanding Faculty Award nominees to the Selection Committee.

C. The Nomination Committee will use nomination statements plus Faculty Self-Evaluations from up to the past three years.

2. Selection Committee

A. The Selection Committee will select the Hornaday Outstanding Faculty Award winner.

B. The Selection Committee will consist of three members:

- The previous year's Hornaday Outstanding Faculty Award winner, who also serves as the convener/chair

- Two faculty members selected from the academic schools

C. In addition to the nomination statements and Faculty Self-Evaluations, the Selection Committee will use reviews by students, peers, and deans. Faculty will approve evaluation reviews by indicating a checkbox on dean evaluations.

D. By the end of April, the Selection Committee will determine the Hornaday Outstanding Faculty Award winner.

Committee Notes: No members of the committees should be from the same school. Faculty membership on both committees should be rotated. If deemed necessary, more committee members may be appointed. Committee members will include teaching, service, and scholarship in their evaluation of candidates. No members of either committee will be eligible for the award during time of service on the committees.

V. Announcement of winners

The Chancellor shall recognize the Hornaday Outstanding Faculty Award winner at UAM's spring commencement, and also recognize both the winner and finalists during Professional Development Week at the beginning of the fall semester of each academic year.

Revised April 2010

Revised June 2003

Revised March 1996

APPENDIX E – Universitywide Administrative Policies and Board policies

BOARD POLICY 405.1

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

BOARD POLICY 450.1:

Outside Employment of Faculty and Administrative Staff Members for Compensation

UNIVERSITY ADMINISTRATIVE MEMORANDUM 412.1:

Overload Teaching Assignments

UNIVERSITYWIDE ADMINISTRATIVE MEMORANDUM 430.2:

Voluntary Early Retirement Program for Tenured Faculty

UNIVERSITYWIDE ADMINISTRATIVE MEMORANDUM 440.2:

Extra Compensation Policy

UNIVERSITYWIDE ADMINISTRATIVE MEMORANDUM 440.9:

Garnishment and Salary Liens

UNIVERSITYWIDE ADMINISTRATIVE MEMORANDUM 515.1:

Student Education Records

UA BOARD POLICY 350.1

Fraud Policy

BOARD POLICY 405.1 APPOINTMENTS, PROMOTION, TENURE, NON-REAPPOINTMENT, AND DISMISSAL OF FACULTY

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; Universitywide Administrative Memorandum 421.1, dated December 6, 1976; Universitywide 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 inter-lineation 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, master 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, executive in residence, 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	Library	Cooperative Extension Service*	Instructional Development	Museum
University Professor, Distinguished Professor, Professor	Director of Libraries, Librarian	Extension Specialist IV	Instructional Development Specialist II	Curator
Associate Professor	Associate Librarian	Extension Specialist III	Instructional Development Specialist I	Associate Curator
Assistant Professor	Assistant Librarian	Extension Specialist II		Assistant Curator
Instructor		Extension Specialist I		

*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 affected 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 chair 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 IVV.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 who was eliminated as a result of reduction or elimination of a program may not be reactivated for a period of five academic years.

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 1.)

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 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.

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 Sections 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, visiting, or executive in residence 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, or other non-tenure track positions approved by the President, 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, except as specifically provided herein. An initial appointment of one-half year (academic or fiscal) or less will not be included in the probationary period. If more than one-half of any year is spent in leave of absence without pay status, that year shall not apply toward the probationary period. During the first six years of the probationary period, a tenure-track faculty member may request, for reasons set forth below, that the probationary period be suspended by one (1) year. The reasons for such a request are the same as required under the Family and Medical Leave Act of 1993 and are as follows: (a) the birth of a child to the faculty member or his spouse and its care during the first year; (b) the adoption of a child by the faculty member or placement in the faculty member's home of a foster child; (c) the care of the faculty member's spouse, child, or parent with a serious health condition; (d) the serious health condition of the faculty member.

A request to suspend the probationary period for these reasons shall first be directed in writing to the department chair for approval and must also be approved by the dean (or approved through other established administrative channels), the vice chancellor for academic affairs, the chancellor, and the president, under such procedures as the president shall approve. These procedures may include, but shall not be limited to, the manner in which the faculty member's duties and salary, if any, are determined during such year, the information which is required to substantiate a request and the extent to which a faculty member's performance during such year may be considered in awarding tenure. A faculty member who has been notified that he or she will not be reappointed may not subsequently request to suspend the probationary period under this policy.

Upon the recommendation of the department chair, after consultation with the departmental faculty and with concurrence of the dean, the vice chancellor for academic affairs, and the chancellor, 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 twelve 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 of 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 non-appearing 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 for 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 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.

NOTE: A University-wide committee has been established for the purpose of recommending criteria and procedures for an annual review of all administrative officers of the University. A report from this committee will be presented to the Board of Trustees at a fall 1989 meeting for appropriate action of the Board.

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.

October 2, 2001 (Revised)
 September 18, 1998 (Revised)
 August 11, 1998 (Corrected)
 June 6, 1997 (Revised)
 April 25, 1997 (Revised)
 September 16, 1994 (Revised)

June 16, 1994 (Revised)
 January 23, 1987 (Revised)
 September 17, 1982 (Revised)
 June 18, 1982 (Revised)
 February 8, 1980 (Revised)
 April 20, 1962, and Revisions

**BOARD POLICY 450.1:
OUTSIDE EMPLOYMENT OF FACULTY AND ADMINISTRATIVE STAFF
MEMBERS FOR COMPENSATION**

While emphasizing the fact that full-time faculty and non-classified administrative staff members of the University are obligated to devote their working time and efforts primarily to University activities, the University recognizes that a limited amount of outside work for private compensation may be advantageous to all concerned. Deans, department heads, directors, vice chancellors, chancellors, vice presidents, and the president are included as administrative staff. Such persons are therefore encouraged to engage in outside employment which will affirmatively contribute to their professional advancement or correlate usefully with their University work. This employment shall not interfere in any substantial way with the employee's University neither duties nor conflict with his /her University assignments. Written approval from department head and/or dean shall be obtained in advance of such outside employment. Each dean or similar officer shall keep records on outside employment by personnel in his/her college or administrative unit. The report should include actual time spent during the reporting period. Such records shall be reviewed by the appropriate administrator and submitted to the Chancellor or Vice President for Agriculture by September 30 of each year and such records shall be reviewed periodically by the appropriate administrator. The employee shall always make it clear the outside employment is his/her own responsibility and that in it he/she does not act as an agent or representative of the University. University facilities or property shall not be used except with permission of the department head or dean, and the payment of appropriate fees may be required.

September 26, 1997 (Revised)

June 11, 1993 (Corrected)

April 30, 1993 (Revised)

June 15, 1990 (Revised)

January 15, 1988 (Revised)

June 19, 1958 (Revised)

June 5, 1916

**UNIVERSITY ADMINISTRATIVE MEMORANDUM 412.1:
OVERLOAD TEACHING ASSIGNMENTS**

The following policy on overload teaching assignments has been adopted by the Arkansas Legislative Council:

“The Board of Trustees at each state-supported college or university shall establish the guidelines for full-time employment of their faculty and staff and shall establish the compensation for each individual for this full-time employment in accordance with maximums and other provisions set forth by law. Members of the faculty or staff who may be assigned additional teaching responsibilities beyond their full-time employment, and for which the annual increase in the regular contracted salary for the previous year, shall be reported to the Legislative Council. This report shall be made at the end of each spring semester for the preceding twelve (12) months, and shall be reported to the legislative council no later than July 15th of each year. It shall include the employee’s name and the amount paid for extra teaching. In no case may the total amount earned exceed the line item maximum established for a given position.”

Reports from the various campuses are due in the office of the Vice President for Academic Affairs by July 5 each year.

Attachment: Sample report form (submit in duplicate by July 5 of each year).

May 16, 1978

ADMINISTRATIVE MEMORANDUM 430.2 VOLUNTARY EARLY RETIREMENT PROGRAM FOR TENURED FACULTY

I. GENERAL PURPOSE

The voluntary early retirement program (“the Program”) of the University of Arkansas (“the University”) for tenured faculty is made available to eligible tenured faculty. Under the terms of the Program, the faculty member will receive certain benefits in exchange for his/her immediate retirement and relinquishment of tenure. Participation in the Program is voluntary and is not mandated upon either tenured faculty or the University. Participation in the program is not an entitlement but may be made available to eligible tenured faculty members when:

- 1) A savings to the University can be demonstrated, and
- 2) The terms and circumstances of the retirement would not be detrimental to the University and its programs including, but not limited to, sufficient financial and staffing resources available to the department, campus, and unit from which the individual is retiring.

II. PROCEDURES FOR SUBMITTING EARLY RETIREMENT REQUESTS:

Any tenured faculty member meeting the minimum qualifications listed below may initiate a request for the University to consider the faculty member’s participation in the Program. The request must be submitted in writing by the faculty member to the head of the faculty member’s unit. Each campus will be responsible for developing and informing faculty of a time schedule for submission of early retirement requests. Participation in the Program is subject to approval of the Board of Trustees of the University of Arkansas (“the Board”) and shall be evidenced by a written agreement between the individual and the University. Each voluntary early retirement agreement (“the Agreement”) must be approved by the Board prior to the effective date of retirement of the faculty member. The Agreement shall be in a standard form, approved by the General Counsel of the University, setting forth its terms.

Within the guidelines listed below, the terms of the Agreement should be discussed between the faculty member and the head of the faculty member’s unit. Each campus may also designate one or more individuals to consult with the faculty member in evaluating the Agreement although the campus representative is not authorized to furnish legal, tax or other professional advice. In developing the Agreement, each faculty member must be apprised of his/her rights under the Age Discrimination in Employment Act and be advised to seek the advice and counsel of attorneys, accountants and others who can provide the faculty member with information to assist in making an informed decision. In all cases, the faculty member should be given at least 45 days to consider his/her participation in the Program unless the faculty member waives this requirement in writing. Waivers shall be in a standard form approved by the General Counsel of the University.

ADMINISTRATIVE MEMORANDUM

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If the faculty member and the head of the unit agree on an early retirement request, in accord with the Program, and Agreement should be completed and forwarded for approval through administrative channels, together with a letter of recommendation from the appropriate Chancellor or the Vice President for Agriculture, to the President of the University. Each Agreement must be accompanied by:

- 1) A statement signed by the requesting faculty member, assuring University officials that the faculty member's participation in the Program is voluntary; and
- 2) An "early retirement worksheet," in a form substantially corresponding to the form attached to this Universitywide Administrative Memorandum.

III. MINIMUM QUALIFICATIONS

- 1) The Program is not available to a faculty member who is on leave-without-pay; receiving long-term disability insurance benefits; or receiving worker's compensation.
- 2) On the effective date of a participating faculty member's retirement pursuant to an Agreement, the faculty member shall:
 - a) Be age 55 or older, and
 - b) Have 15 years of continuous service in a tenured or tenure track faculty position with the University of Arkansas.

"Continuous service in a tenured or tenure track faculty position" means 15 consecutive years of service, subject to provisions herein for leave-without-pay status.

"Tenured or tenure track faculty position" shall be as defined in Board Polity 405.1. For purposes of the Program, individuals who held a tenured faculty position prior to or contemporaneous with the assumption of administrative duties in connection with the positions of President or other System administrator, Chancellor, Vice Chancellor for Academic Affairs, Dean, or Department Head/Chair and who continue to hold tenure throughout their employment as administrators shall be considered as holding a tenured or tenure track faculty position during such period of administrative service.

"Years of service" will be calculated in whole year increments. In the case of an individual on twelve-month appointment, fractions of years of service that are six months or less will be rounded down to the next lowest full year of service and fractions of years of service that are greater than six months will be rounded up the next highest year of service. In the case of an individual on nine-month appointment, years of service will be

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430.2

calculated with the fall and spring semester each representing half a year.

Time spent in an “off campus duty assignment” will be counted in computing continuous service.

Time spent in a “leave-without-pay” status will not be counted in computing continuous service but faculty members who have no more than three years in a leave-without-pay status are not prevented from participation in the program as long as they can otherwise show fifteen years of service. For Example: X begins his/her appointment in the fall of 1976 and works continuously until the end of the spring term of 1986. From the beginning of the summer term 1986 until the fall term of 1988, X is in a leave-without-pay status. X returns to active status in the fall of 1988 and works until the end of spring term of 1993. X has fifteen years of service and can participate in the early retirement program.

“Service...with the University of Arkansas” means service at any of the campuses or the System Office of the University of Arkansas.

IV. PROGRAM REQUIREMENTS

Before an Agreement can be approved, a “net savings in personnel costs” to the University must be identified. The cost savings must be realized within seven years of the effective date of the Agreement. A cost savings will be determined for each year of the seven-year period by subtracting the retirement cost and replacement cost from the retention cost. The fact that a cost savings is not shown in one year will not prevent a faculty member from qualifying for the program if a total cost savings can be realized over the seven-year period. For purposes of the Program:

“Retirement cost” means the cost of all benefits, including future part-time teaching, research or other employment-related costs of the faculty member;

“Replacement cost” means the estimated salary and fringe benefits cost of the individual or individuals who will be employed to fill the position or responsibilities of the retiring faculty member;

“Retention cost” means the last annual salary and fringe benefits cost of the retiring faculty member, including any increases in salary or fringe benefits approved prior to the effective date of an Agreement.

The maximum dollar value benefits that can be received under an Agreement is the current annual salary of the retiring faculty member or such lesser amount as is necessary to show a cost savings to the University within seven years. Current annual salary shall be based upon the academic year (for faculty members on nine-month appointment) or fiscal year (for faculty members on twelve-month appointment).

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430.2

The benefits may take several forms including but not limited to:

Stipend without requiring work;

Wages for part-time work (subject to the provisions set out below);

Contribution to a designated funding sponsor under the University Retirement Plan;

Other arrangements.

Wages for part-time work shall not exceed 5/16 of the faculty member's last full-time annual salary. If the retiring faculty member plans to return to the University on a part-time basis at any time during the seven years immediately following early retirement, the cost of the part-time employment must be calculated as "retirement cost" for purposes of showing the cost savings to the University.

V. SPECIAL CAMPUS PROGRAM—APPROVAL BY PRESIDENT

The Chancellor of any campus may submit to the President for approval a special voluntary early retirement program applicable only to tenured faculty members on the campus. Such a proposal may provide for benefits or incentives for a limited period of time beyond the benefits set forth in this Program and may also be limited to tenured faculty members within a minimum and maximum age classification. The proposal may also modify the eligibility criteria of the Program and may include an option for relinquishment of tenure under a phased retirement Agreement whereby the faculty member reduces workload of a period of not more than three years. Incentive payments for a phased retirement proposal may include special allowances and/or payment of all or a portion of continued insurance coverage's. Any such proposal must be consistent with Board Policy and applicable law, meet the general purposes set forth in the preamble to this Universitywide Administrative Memorandum and must be justified by the Chancellor with such substantiation as the President might direct.

June 1, 1994

VOLUNTARY EARLY RETIREMENT AGREEMENT

This Agreement is entered into by and between _____, a member of the faculty of the University of Arkansas at its _____ campus, and the Board of Trustees of the University of Arkansas, on this the _____ day of _____, 20____.

_____ states:

That he/she has been a member of the faculty of the University of Arkansas since _____, currently holds the rank of _____, and is tenured in that position under policies of the Board of Trustees.

That he/she is not on leave-without-pay status, receiving long-term disability insurance benefits, or receiving workers compensation benefits;

That on his/her own initiative, he/she has sought an agreement for early retirement pursuant to Arkansas Code Annotated §24-7-101 and Universitywide Administrative Memorandum 430.2;

That he/she has been apprised of his/her rights under the Age Discrimination in Employment Act as amended;

That he/she has been advised and has had the opportunity to seek the advice and counsel of attorneys, accountants, and others who could aid him/her in making an informed decision regarding the early retirement program;

That he/she has been given at least 45 days to consider his/her participation in the program; and

That he/she voluntarily does hereby resign his/her position as a tenured _____ effective _____, recognizing and acknowledging that all rights and obligations as a tenured faculty member will then end.

In consideration for the resignation as a tenured faculty member as described above, the Board of Trustees of the University of Arkansas hereby accepts such voluntary resignation and in consideration thereof agrees to provide the following:

(1)

(2)

Early Retirement Agreement
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(3)

This agreement shall be binding on the tenured faculty member described above, and on his/her heirs, estate and personal representatives, and on the Board of Trustees and its successors; provided, however, that (1) any agreement to pay for part-time personal services shall terminate for all unaccrued and unearned amounts on the death or disability to render such services, personally, by the tenured faculty members described, and (2) all other rights and/or obligations to or for the benefit of the tenured faculty member described shall terminate at his/her death except as they may have accrued, as to right, prior to such death.

All earlier oral or written agreements regarding employment between the Board of Trustees of the University and/or the University of Arkansas and _____ are superseded by this Agreement. This Agreement does not affect or alter rights, privileges, or options accrued to this date which _____ now has under pension (annuity), insurance, or other plans (if any) in which _____ has participated and to which the University has made contributions, nor any rights, privileges, or options to which emeriti faculty members are entitled by reason of that rank or eligible thereto.

Witness:

Faculty Member

Witness:

Board of Trustees of the
University of Arkansas

_____ By: _____

STATEMENT OF ASSURANCE

By my signature below, I, _____ do hereby assure the members of the Board of Trustees of the University of Arkansas that I have voluntarily sought participation in the University of Arkansas' Voluntary Early Retirement Program for Tenured Faculty, that I have been apprised of my rights under the Age Discrimination in Employment Act, and that I have been advised and have had the opportunity to seek the advice and counsel of attorneys, accountants and others who might assist me in making an informed decision concerning the Program.

Faculty Member

Date

Witness

Date

VOLUNTARY EARLY RETIREMENT PROGRAM

WAIVER OF 45 DAY CONSIDERATION

I, _____, hereby waive the 45 day period for consideration of the terms of and my participation in the voluntary early retirement program for the University of Arkansas. I further state that:

I have voluntarily sought this agreement on my own initiative;

I have been apprised of my rights under the Age Discrimination in Employment act; and

I have been advised and have had the opportunity to seek the advice and counsel of attorneys, accountants, and others who could aide me in making an informed decision regarding the terms of my early retirement agreement.

Faculty Member

Date

UNIVERSITYWIDE ADMINISTRATIVE MEMORANDUM 440.2: EXTRA COMPENSATION POLICY

In accomplishing its mission, the University's greatest resource is its personnel. The purpose of this policy is to provide flexibility, within appropriate guidelines, in order to permit the most effective use of the time and talents of University personnel.

Assumptions

1. The salary of a full-time employee of the University is intended as compensation for all regularly assigned activities performed for or in the name of the University.
2. An employee may be called upon from time to time to perform additional tasks over and above regularly assigned duties for which he or she may receive extra compensation.

Restrictions

1. An employee must be certified by his or her dean or supervisor as working a full load in addition to the activity for which extra compensation is being recommended.
2. The work for extra compensation shall not interfere with the regular duties of the individual, as certified by the dean or supervisor.
3. The request for extra compensation should be approved by the dean or equivalent officer in advance of performance of the work.
4. Federal funds may not be used to pay extra compensation unless specifically authorized by the sponsoring agency.
5. Extra compensation for an individual must be consistent with any applicable state and federal laws and regulations and with any applicable accreditation standards or criteria.
6. Extra compensation must not result in a conflict of interest.
7. University funds will not be used for extra compensation for speeches, public appearances, etc., which are civic, public relations, or development activities.
8. University funds will not be used for extra compensation for such scholarly activities as research, research consultation and collaboration, or creative works considered part of normal faculty duties.
9. The institutional policy that an employee may not through extramural funding achieve a raise in his or her base annual salary is here reaffirmed.
10. An employee's total compensation, for a year or for a month, including extra compensation, shall not exceed the maximum salary as provided in applicable state statutes. A change of title will not be approved in order to pay an individual above his/her existing line item maximum.

11. Full-time employees may teach for extra compensation with preparation for and time in class falling outside their regular work schedules.
12. Senior administrators, as defined by the Chancellor, shall not be eligible for extra compensation for teaching a class or performing other duties for the University.
13. Stipend for extra compensation must be authorized to be paid at the regular payroll period for the time period in which it is earned.

Procedure

1. Each campus or unit within the University of Arkansas shall establish procedures to receive recommendations for extra compensation. Each campus or unit will monitor extra compensation for conformity to the requirements of this Administrative Memorandum. Each Chancellor or equivalent officer shall approve each request for extra compensation. Information regarding extra compensation shall be maintained for an annual report.
2. The maximum amount which may be paid to an employee is twenty (20) percent of his/her annual salary, in accordance with restriction number ten (10).
3. Exceptions to the provisions of this policy will require the approval of the President.

August 7, 1995 (Revised)
February 6, 1984 (Revised)
September 4, 1979 (Revised)
January 1, 1979 (Revised)
October 4, 1978 (Revised)
November 17, 1975

**UNIVERSITYWIDE ADMINISTRATIVE MEMORANDUM 440.9:
GARNISHMENT AND SALARY LIENS**

Any University employee is legally subject to having wages and /or other amounts due from the University seized by a court order of garnishment or by a governmental lien. The University is required to comply with an order of garnishment only where it is issued after a legal judgment has been entered against the employee-debtor. Governmental liens such as those arising from claims for unpaid taxes and from bankruptcy claims must also be honored.

When the University receives such court order or lien, it must pay over the appropriate amount to the clerk of the court or to the governmental agency. Your defenses should be made to them.

For garnishments against compensation due an employee, federal law restricts the amount which maybe seized for any one work week to 25% of disposable earnings or the amount by which disposable earnings exceed thirty times the federal minimum hourly wage, whichever is less. (Computation for a month is based upon 4-1/3 work weeks.) Disposable earnings are earnings remaining after deductions required seizure is one of the following types: (a) court order for support of a person; (b) court order of bankruptcy under Chapter XIII of the Bankruptcy Act; (c) debt due for State or Federal taxes; or (d) amount due employees by University is other than compensation for personal services.

The University has a concern when an employee has a garnishment or salary lien issued against him and served upon the University. A substantial amount of administrative time an expense is involved for the University in processing such a court orders and liens.

Upon receipt of two orders of garnishment, two salary liens, or a combination of one of each type of seizure against the salary of a University employee during any period of twelve months, dating from the receipt of the first such order, grounds shall be deemed to exist for termination of such employee according to regular University procedures. For this purpose, multiple garnishment orders arising from the same debt or same judgment shall be treated as a single garnishment, and multiple assertions of salary liens arising out of the same bankruptcy order or same debt for taxes due the same governmental unit shall be treated as a single salary lien.

The University official responsible for responding to judgments of garnishment and liens shall notify the chief administrative officer on his campus when two orders are received against an employee within a twelve-month period.

October 27, 1976

UNIVERSITYWIDE ADMINISTRATIVE MEMORANDUM 515.1: STUDENT EDUCATION RECORDS

The following is the policy of the University of Arkansas concerning student education records, as required by the "Family Educational Rights and Privacy Act of 1974," as amended, 20 U.S.C. Section 1232G, and the regulations of the Department of Education, Codified in Part 99 of Title 34 of the Code of Federal Regulations. A copy of this policy shall be kept in the main library on each campus and shall be available to the public. Copies of the policy may be obtained upon request and payment of a copying fee. Various forms are attached to the policy, for information and guidance only. Use of the forms is not required by this policy.

I. Definitions:

- A. **Directory information:** Information contained in an education record of a student which is generally not considered harmful or an invasion of privacy if disclosed, such as the student's name; address; telephone number; date and place of birth; nationality; religious preference; major field of study; classification by year; number of hours in which enrolled and number completed; parents' or spouse's name and addresses; marital status; participation in officially recognized activities and sports; weight and height of members of athletic teams; dates of attendance including matriculation and withdrawal dates; degrees, scholarships, honors, and awards received, including type and date granted; most recent previous education agency or institution attended; and photograph.
- B. **Disclosure:** To permit access to or the release, transfer, or other communication of education records, or the personally identifiable information contained in those records, to any person, agency, institution or organization by any means, including oral, written, or electronic means.
- C. **Education records:** Any information recorded in any way, including, but not limited to, handwriting; print; tape; film; electronic, including computer records; and microform, which is directly related to a student and is maintained by the University or any of its campuses, or by a person acting for the University, except the following:
 - 1. Records made by and kept in the sole possession of a University official or employee which are not made accessible or revealed to any other person except a temporary substitute for the official or employee;
 - 2. Records of the campus law enforcement unit, but only if education records maintained by the campus are not disclosed to the law enforcement unit, and the law enforcement records are:
 - a) Maintained separately from education records;
 - b) Maintained solely for law enforcement purposes; and

- c) Disclosed only to law enforcement officials of the same jurisdiction;
 3. Employment records of University employees whose employment is not contingent on the fact that he/she is a student, which are made and maintained in the normal course of business, relate exclusively to the individual in his/her capacity as an employee, and are not available for use for any other purpose;
 4. Treatment records made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting or assisting in his/her professional or paraprofessional capacity, which are made, maintained or used only in connection with treatment of a student, and are disclosed only to those persons providing the treatment. "Treatment" does not include remedial education activities or activities which are part of the program of instruction at the University; and
 5. Alumni records which contain information about a student after he/she is no longer in attendance at the University, if the records do not relate to the person as a student.
- D. Personally identifiable information includes, but is not limited to:
1. The student's name;
 2. The names of the student's parents or other family members;
 3. The address of the student or student's family;
 4. A personal identifier, such as the student's social security number or student number;
 5. A list of personal characteristics that would make the student's identity easily traceable; or
 6. Other information that would make the student's identity easily traceable.
- E. Student: A person who is in attendance or who has been in attendance at one of the campuses of the University of Arkansas, regarding whom the campus maintains education records.
- F. The University: The University of Arkansas, its campuses and divisions.
- G. University officials: Faculty, staff, officers, and trustees of the University, and persons working with such persons or under contract with the University.

II. Right to Inspect Personal Education Records

- A. Students have a right to inspect and review their own education records upon request to the custodian of the record.
 - B. A student may obtain a copy of his/her education records by paying a copying fee, except in the following circumstances:
 - 1. The student has an unpaid financial obligation to the University.
 - 2. There is an unresolved disciplinary action against the student.
 - C. The appendix to this policy provides the following information applicable to each individual campus:
 - 1. A list of the types and locations of education records maintained by the campus;
 - 2. The titles and addresses of the officials who are custodians of education records;
 - 3. A schedule of fees for copies; and
 - 4. The deadline for notifying the campus registrar that a student does not wish certain information to be designated as directory information.
 - D. The custodian of a student's education record shall comply with a request from the student for access to an education record within a reasonable period of time, but no later than forty-five (45) days after the request has been received.
 - E. Education records shall not be destroyed if there is an outstanding student request to inspect and review the records.
 - F. The custodian of a student's education record shall respond to a reasonable request from the student for an explanation and interpretation of the record.
 - G. The custodian of a student's record may refuse to allow the student to inspect the following records:
 - 1. Records containing information on other students in addition to the requesting student. The requesting student may only see the part of the record relating to him/her, or be informed only of specific information in the record relating to him/her.
3. Financial records of the student's parents, or any information contained therein.

Fraud **(UA Board Policy 350.1)**

The University shall promote organizational policies and procedures that prevent fraud and support investigations relating to suspected fraud. The University defines fraud as *the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon it to his or her injury.*

The University places responsibility on management for the detection or prevention of fraud, misappropriations and other inappropriate conduct. However, because fraud can occur at all levels of the institution, all UAM employees must assist in this responsibility and be aware of the policy and the guidance for reporting the discovery or suspicion of fraudulent activity.

Listed below are examples of defalcation, misappropriation and other fiscal wrongdoings:

- An entry into the records of the University data systems that is intentionally made to misrepresent or deceive.
- Forgery of a check or bank draft, wire transfer, or any other University financial document.
- Unauthorized alteration of any financial document or account.
- Misappropriation or the taking of funds, securities, supplies, or other University assets.
- Impropriety in the handling or reporting of money or financial transactions.
- Disclosing confidential and proprietary information to outside parties for personal gain except as allowed by law.
- Accepting or seeking anything of material value from contractors, vendors, or persons providing services or materials to the University.
- Unauthorized removal or use of University property including equipment, furniture, fixtures, records, or other state items.

The Internal Audit Department of the University of Arkansas System has the primary responsibility for the investigation of all suspected fraudulent financial acts as defined in the policy. The policy calls for employees who discover or suspect fraudulent activity to contact the Internal Audit Department directly or through the UA System's Fraud Hotline (**866-252-9838**). The Internal Audit Department treats all information received confidentiality as allowed by law.

Employees committing fraud may be subject to University disciplinary action including termination and subject to prosecution in accordance with Arkansas and Federal laws.

Suspected improprieties concerning an employee's moral, ethical, or behavioral conduct should be resolved by departmental management rather than the University's Internal Audit Department.

APPENDIX F – UAM Mission Statement & Campus History

The University of Arkansas–Monticello shares with all universities the commitment to search for truth and understanding through scholastic endeavor. The University seeks to enhance and share knowledge, to preserve and promote the intellectual content of society, and to educate people for critical thought. The University provides learning experiences which enable students to synthesize knowledge, communicate effectively, use knowledge and technology with intelligence and responsibility, and act creatively within their own and other cultures.

The University strives for excellence in all its endeavors. Educational opportunities encompass the liberal arts, basic and applied sciences, selected professions, and vocational and technical preparation. These opportunities are founded in a strong program of general education and are fulfilled through contemporary disciplinary curricula, certification programs, and vocational/technical education or workforce training. The University assures opportunities in higher education for both traditional and non-traditional students and strives to provide an environment which fosters individual achievement and personal development.

The University of Arkansas at Monticello seeks to fulfill its mission by:

1. Offering quality educational opportunities in the form of master's, baccalaureate, and associate degree preparation, as well as certification in a variety of vocational/technical programs, or workforce training;
2. Offering a well-rounded program of general education designed to broaden and enrich students' awareness of the world around them;
3. Providing contemporary curricula which prepare students for careers in selected fields, for personal development, and for meeting societal needs;
4. Strengthening students' capabilities as thoughtful contributors to society by encouraging them to take personal responsibility and seek the benefits of life-long learning;
5. Providing support programs which increase the probability of success for those students needing additional academic preparation to meet college standards;
6. Assisting students in developing interpersonal skills needed by responsible and productive members of society;
7. Providing viable programs of public service, continuing education in selected areas, and cooperative programs with other educational institutions;
8. Promoting research programs which strengthen the institution and contribute new information to the existing body of knowledge and the extension of knowledge to serve the public;
9. Providing cultural and aesthetic experiences that will serve to enhance appreciation of the arts;
10. Maintaining regional and national recognition of the institution and its academic and technical programs by continuing to meet the standards of accrediting bodies, and seeking similar recognition of appropriate programs for which accreditation is available by yet to be achieved; and
11. Preparing students to live and work in a technological and global society.

CAMPUS HISTORY

The history of the University and the mission statement of the University are enduring and are used by the campus community as the foundation for the daily operation of the University and its strategic plan for the future. The mission statement of the University is used as a benchmark to measure UAM's success.

The University of Arkansas at Monticello was established in 1909 by an act of the General Assembly of the State of Arkansas to serve the educational needs of Southeast Arkansas. Originally called the Fourth District Agricultural School, the University opened its doors September 14, 1910. In 1925, the General Assembly authorized the school's name to be changed to Arkansas Agricultural and Mechanical College. A & M received accreditation as a junior college in 1928 and as a four year institution in 1940.

Arkansas A & M became part of the University of Arkansas system July 1, 1971 and its mission expanded to serve the needs of the state, region, and nation. On July 1, 2003, the University of Arkansas at Monticello again expanded its mission to include vocational and technical education with the merger of the Forest Echoes Technical Institute and the Great Rivers Technical Institute becoming, respectively, the UAM College of Technology at Crossett and the UAM College of Technology at McGehee.

The University of Arkansas System Board of Trustees governs the University of Arkansas at Monticello. The University of Arkansas at Monticello Board of Visitors aids in the continuing development of the University and furnishes counsel, guidance, and recommendations for the University. Its diverse membership is representative of the Southeast Arkansas region; members are appointed by the Governor of the State of Arkansas.

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