

1 **11-02-09**

2

3

4

5

6

7

8

9

10

11

Promotion and Tenure Guidelines

13

14

15

16

17

18

19

20

21

22

23

24

25

26

27

28

29

30

31

University of Arkansas at Little Rock

32

33

34

35 **1. Faculty Roles**

36
37 For the university to achieve its mission, faculty must remain
38 committed to teaching, scholarship, and service. Faculty members are
39 expected to make contributions in each area, although some variation
40 in emphasis is appropriate. The university recognizes that the
41 contributions of individual faculty members to the mission of the
42 university shift according to the faculty member’s talents, the needs of
43 departments and colleges, and the character of diverse academic
44 disciplines. Faculty members, thus, need to determine
45 responsibilities—teaching loads, scholarship agenda, and service
46 commitments—in consultation with the chair of their department.¹ It is
47 the responsibility of chairs to mediate the needs of their departments
48 with the university mission and trends in the department’s discipline.

49
50 In addition to contributions in teaching, scholarship, and service, the
51 university expects that faculty will adhere to the ethical standards of
52 the university and their respective disciplines as well as manifest
53 standards of civility, professionalism, and collegiality.

54
55
56 **1.A. Teaching**

57
58 The nature of effective teaching may vary across disciplines, but
59 certain qualities are universal: respect for students, faith in student
60 abilities, a focus on student learning, and a commitment to student
61 success. Equally important, faculty should view themselves as role
62 models who convey the values of their disciplines and initiate students
63 into their professions. In the pursuit of excellence in teaching, faculty
64 members should remain current in their disciplines and in pedagogical
65 strategies. They should consider teaching a continual process of
66 improvement and growth.

67
68 The documentation of excellence in teaching takes many forms. One
69 approach is through the preparation of a teaching portfolio. The
70 content and format may vary by discipline and individual philosophy,
71 but information about both teaching effort and teaching quality over
72 time should be included. Standard products for the promotion and
73 tenure dossier may include the following:

- 74
75 1. Statement of teaching philosophy and pedagogical
76 strategies,

¹ In this document, *chair* will be used to cover chair, head, and director; *department* will be used to cover all academic units that form a college, including department, division, and school.

- 77
78
79
80
81
82
83
84
85
86
87
88
89
90
91
92
93
94
95
2. Teaching history including teaching loads, summary of courses taught and modes of instruction in each course,
 3. Materials from individual courses – syllabi, exercises, projects, exams, websites, multimedia products, video of lectures,
 4. Summary of advising, consultation, and supervision of students at all levels—pre-college, undergraduate, graduate, and post-doctoral,
 5. Curriculum design, development, and administration,
 6. Measuring student learning and instructional effectiveness through course, program, and core assessment activities and outcomes,
 7. Professional development activities related to teaching,
 8. Student course evaluations, compiled and interpreted to give the data contextual meaning,
 9. Peer evaluations,
 10. Self-evaluations, and
 11. Awards.

96 Evidence of specific curriculum design and development, where
97 appropriate, should be included in the dossier. Faculty who are using
98 technology, problem-based learning, service learning, multicultural
99 learning, study abroad, or other special approaches and tools to
100 enhance student learning are especially encouraged to present these
101 aspects of course design (even experimental use) with an explanation
102 of how the curriculum conforms to or extends principles of “best
103 practice.”
104
105

106 **1.B. Scholarship**

107

108 Scholarship is defined as a systematic, focused attention on a question,
109 problem, or idea, characterized by expertise, originality, analysis and
110 significance. Scholarship results in products that are shared with
111 appropriate audiences within the academy and the wider community.
112

113 Scholarship is evaluated externally; scholarship and creative activities
114 must be reviewed by methods accepted by the appropriate discipline.
115 Scholarship may be defined in ways that do not neatly fit into
116 traditional categories, but application of a clear method of review to
117 such work is essential.
118

119 Increasingly, all forms of scholarship involve collaboration. The
120 academic unit shall determine if such collaboration within or across
121 institutional and disciplinary lines is encouraged. Candidates must be

122 careful to document the extent and form of their contributions to
123 collaborative work.

124

125 In this document, scholarship is a broad term that embraces a range of
126 contributions faculty members might make to their respective
127 disciplines: Scholarship of Discovery, Scholarship of Creativity,
128 Scholarship of Application, Scholarship of Integration, and
129 Scholarship of Teaching.

130

131 *Scholarship of Discovery* is systematic inquiry or investigation
132 designed to validate and refine existing knowledge and to generate
133 new knowledge. At its core, this scholarship involves studies that use
134 quantitative or qualitative methodologies to make significant
135 contributions to knowledge. Primary empirical research, historical
136 research, theory development, methodological studies and
137 philosophical inquiry are all representative of this form. Typically, this
138 scholarship is documented through peer-reviewed publication of
139 articles or books; publication in law reviews or journals; papers
140 presented at state, regional, national, or international meetings; grant
141 awards; or recognition by professional organizations as a scholar in a
142 particular area.

143

144 The *Scholarship of Creativity* entails developing or performing
145 original works of art, literature, music, film and theater. It may also
146 include the creation of new forms of electronic or digital media.
147 Typical examples are production or scenic design of plays; writing,
148 directing, or acting in plays; choreography and dance performance;
149 creation and exhibition of visual arts such as painting, sculpture, and
150 photography; musical composition and performance; direction or
151 production of film and video; creative writing; and creation of
152 websites, virtual reality programs, and multimedia communication
153 tools. In all cases, however, there are accepted forms of peer review to
154 determine the quality and significance of faculty work, from juried or
155 invitational art shows to publication. These conventional procedures
156 must be part of the evaluation of faculty achievement.

157

158 The *Scholarship of Application* is the use of professional expertise or
159 information in the process of solving social or community problems. It
160 should not be confused with service or citizenship. Service activities
161 typically benefit a particular group, organization, or community; the
162 Scholarship of Application can potentially benefit many organizations.
163 The Scholarship of Application must include a mechanism whereby
164 the quality and influence of the contribution can be evaluated. This is
165 most easily demonstrated when an artifact is created encompassing the
166 work, e.g., a report, a training manual, a program evaluation, a video,
167 or a website. Some activities include peer review; for example, the

168 report written for a taskforce is reviewed by members of the taskforce
169 as well as other agencies and institutions. In cases where this is not so,
170 the department should initiate an alternative review process, such as
171 sending the work to experts in the field to evaluate its significance,
172 rigor, and impact. In all cases, the product of the scholarship of
173 application must be subject to some form of peer review.

174
175 *Scholarship of Integration* involves synthesis across theories or across
176 academic fields. As academics tackle social, economic, and technical
177 problems, a need often exists for faculty members with broad and
178 multidisciplinary perspectives to see connections across the unique
179 perspectives of a theory or discipline. The Scholarship of Integration
180 may result in a traditional academic product such as an article, book or
181 presentation. It also may take the form of a product or patent. As in
182 other areas, appropriate forms of external review must be used to
183 determine the merit of such products.

184
185 The *Scholarship of Teaching* is not the same as “best teaching
186 practice.” Tenure-track faculty seeking advancement based on
187 excellence in the Scholarship of Teaching shall engage in publication
188 appropriate to development and evaluation of teaching, teaching
189 technique, curriculum development and related topics, including peer-
190 reviewed publications, conference presentations, workshops, and
191 teacher handbooks that contribute to the theoretical base of knowledge
192 about curriculum or effective teaching and learning. Thus, the
193 Scholarship of Teaching is more than being an excellent teacher. It
194 involves systematic inquiry about teaching, dissemination of the
195 results, and peer review.

196
197

198 **1.C. Service**

199

200 Faculty members are expected to provide service to the university,
201 their profession or discipline, and the public.

202

203 Service to the university is critical to the carrying out of the
204 university’s mission. Examples of such service include, but are not
205 limited to, membership and leadership of unit committees or task
206 forces; advising student organizations; involvement in faculty
207 governance; coordination of programs, labs, and technical support; and
208 recruitment.

209

210 Service to the profession is also expected, especially as faculty
211 members develop their careers. Professional service includes activities
212 such as serving on committees for a professional organization;
213 planning a conference or event; contributing to the production of a

214 professional journal; and reviewing manuscripts, grants, programs, or
215 textbooks.

216

217 Particularly important to a metropolitan university is service to the
218 community. Such activity necessarily incorporates a wide variety of
219 efforts but is defined by the application of the faculty member's
220 professional expertise to help the community at every level—local,
221 state, regional, national, or international. Typical examples of
222 community service include, but are not limited to, involvement in task
223 forces seeking to solve community problems; consulting with
224 governmental, business, or nonprofit organizations; and program
225 review, coordination, or development.

226

227 Service to the community is a form of citizenship; it should not be
228 confused with the Scholarship of Application, which develops new
229 solutions to problems (as opposed to the application of existing
230 discipline-related knowledge), benefits a single or small group of
231 organizations (as opposed to having broad application), is not
232 disseminated to disciplines (as opposed to publication in journals or on
233 websites), and is not externally evaluated (as opposed to the peer-
234 review of artifacts).

235

236 To assess excellence in service, faculty accomplishments may include
237 the following:

238

- 239 1. Administrative duties such as chair, director, and program
240 coordinator,
- 241 2. Committee/special project participation (academic unit,
242 college, university, system; for example, assessment and
243 recruitment projects),
- 244 3. Discipline-related community involvement,
- 245 4. Working in and with professional organizations,
- 246 5. Relating discipline expertise to the community, and
- 247 6. Development of cooperative ventures between the
248 university and community.

249

250

251 **1.D. Professional Performance**

252

253 In the case of faculty with non-teaching appointments, evaluation may
254 include evidence of the following: performance in the areas of
255 professional responsibility and effectiveness in carrying out assigned
256 duties; ability and willingness to accept additional responsibility, or
257 leadership; cooperation in dealing with personnel at all levels; efforts
258 at self-improvement; innovations in program implementation;
259 development of special projects, resource tools, and/or the use of

260 creative techniques in the performance of duties; initiative and
261 resourcefulness in solving unit problems; ability to communicate
262 effectively orally and in writing. Evidence used to evaluate
263 professional performance generally includes supervisors' evaluations,
264 clientele evaluation, peer-evaluation, and self-evaluation.
265
266

267 **2. Policies for Promotion and Tenure**

268
269 The probationary period for tenure-track faculty may not extend
270 beyond seven years, unless the faculty member receives approval for
271 suspending the probationary period. During the first six years of the
272 probationary period, a tenure-track faculty member may request his or
273 her probationary period be suspended in accordance with the current
274 version of the Family and Medical Leave Act. An initial appointment
275 of one-half year (academic or fiscal) or less will not be included in the
276 probationary period. If more than one-half of any year is spent in leave
277 of absence without pay status, that year shall not apply toward the
278 probationary period (Board Policy 405.1,IV.A.4). Typically, an early
279 tenure review occurs when the faculty member has been in a tenure-
280 track position before being hired by UALR; the terms for an early
281 tenure-review should be written into the faculty member's letter of
282 appointment.
283

284 The process of tenure review, as delineated in departmental promotion
285 and tenure documents, must be completed before the end of the
286 probationary period, consistent with Board Policy 405.1.
287

288 Promotion to a higher rank requires qualifications or performance of
289 the activities and accomplishments identified by the department
290 significantly above those required at the applicant's current rank as
291 well as evidence of potential for continued achievement.
292

293 The applicant shall be informed of the outcome at each level of
294 administrative review.
295

296 The rules and standards regarding promotion and tenure decisions
297 shall not discourage faculty members from developing and expressing
298 divergent views. Mere expressions of opinions, however strongly
299 expressed, however controversial such opinions may be, shall not
300 constitute cause for denial of promotion and tenure. Disagreement is
301 essential for intellectual, academic, and social growth; however, the
302 fair exchange of ideas must involve respectful expression of views and
303 the consideration of multiple points of view.
304

305 Decisions on promotion and tenure shall not be based on life-style,
306 political affiliations, or religious convictions.

307
308 At any point, the candidate may withdraw from the review process by
309 sending a letter to the person responsible for the next level of review.
310 For example, if the candidate wishes to withdraw after the chair's
311 recommendation, he or she sends a letter to the dean.

312
313 Throughout the entire process, confidentiality of information must be
314 maintained.

315
316

317 **3. Procedures for Awarding Promotion and Tenure**

318

319 The procedure for recommending promotion and tenure begins at the
320 department level (see Board Policy 405.1, III and IV.A).² This
321 evaluation of promotion and tenure applications is based on written
322 departmental guidelines established by the department and approved
323 through administrative channels. The departmental recommendation is
324 particularly important because it evaluated the candidate's dossier
325 against the standards of the discipline.

326

327 Departmental promotion and tenure documents must be consistent
328 with guidelines established in college, university, and the University of
329 Arkansas System. These documents must also be consistent with
330 applicable laws. When there is a conflict, the law or higher level policy
331 will be enforced.

332

333 The granting of tenure requires documented evidence of sustained
334 achievement, as well as evidence of potential for sustained future
335 accomplishment over an entire career.

336

337 **3.A. Process before Tenure**

338

339 Departmental, college, university, and system-wide written criteria for
340 promotion and tenure decisions shall be presented to the faculty
341 member at the beginning of employment (see Board Policy 405.1).

342

343 In preparation for promotion and tenure, the chair may assign the
344 tenure-track faculty member with a mentor. The mentor will provide
345 guidance on developing a research agenda and building a dossier. All
346 faculty of the department are similarly encouraged to support tenure-

² If the college or school does not have departments, the promotion and tenure document for the college and school will typically establish a committee that serves the function of the department in the review process.

347 track faculty by providing an opportunity to review recent successful
348 tenure applications.

349
350 A mid-tenure review by the departmental promotion and tenure review
351 committee, the department chair, and the dean is mandatory. The
352 review, typically completed by May 15 at the end of the third year in
353 rank, will follow procedures delineated in the departmental and college
354 policies. After the review has been completed, the PTC will send a
355 report to the chair. The chair will meet with the faculty member to
356 answer questions about the review and then forward the report with a
357 cover letter to the dean.

358
359

360 **3.B. Recommendation of the Departmental Promotion** 361 **and Tenure Review Committee (PTC)**

362

363 All departments shall have a promotion and tenure review committee
364 (PTC). Only tenured faculty members and administrators who hold
365 tenure shall serve on the PTC. Only faculty who hold a rank equal to
366 or above the rank sought by the applicant shall participate in the
367 promotion review process. No administrator, such as the department
368 chair, college dean, associate dean, or assistant dean, may serve on the
369 PTC to review any case for which he or she has participated as a
370 reviewer within that academic year.

371

372 The department's promotion and tenure document should define a
373 mechanism for supplementing the PTC when it has less than three
374 members at the appropriate rank. (For example, if the PTC must vote
375 on a candidate's promotion to professor, the PTC would need at least
376 three members on the committee at the rank of professor.) If there is
377 no mechanism for adding members, the faculty of the department, in
378 consultation with the chair, will provide the dean with a list of at least
379 four names, from which the dean will select the remaining members.
380 Typically, the chair of the PTC should be a member of the academic
381 unit.

382

383 The PTC shall present its recommendation in a letter to the chair. All
384 members of the PTC shall sign the letter. Significant minority opinions
385 may be identified but need not be attributed to individual members of
386 the committee. Separate minority reports may be written and submitted
387 as attachments to the PTC's letter; a minority report must be signed by
388 the members of the PTC who endorse it.

389

390

391

392

393 **3.C. Recommendation of the Chair**

394

395 After reviewing the candidate's dossier and the PTC's
396 recommendation, the department chair will make an independent
397 recommendation. The chair will meet with the candidate to review the
398 recommendation of the PTC and the recommendation of the chair. At
399 this time, the chair provides a copy of each recommendation to the
400 candidate. After the meeting, the chair will forward the PTC's
401 recommendation, the chair's recommendation, and the candidate's
402 dossier to the dean.

403

404 After receiving the chair's decision, the candidate has five business
405 days to initiate a rebuttal (see 3.H.).

406

407

408 **3.D. Recommendation of the College Review Committee**
409 **(CRC)**

410

411 A college may develop written criteria, policies, and procedures for
412 promotion and tenure through its governance structure. Such criteria
413 may include a college promotion and tenure review committee (CRC),
414 which will advise the dean on recommendations about reappointment,
415 tenure, and promotion. Colleges shall have procedures ensuring that a
416 faculty member abstain from vote on a CRC if a candidate from his or
417 her department is undergoing review and the faculty member on the
418 CRC has served on the PTC. No faculty member may vote in the same
419 case as a member of both the PTC and the CRC.

420

421 When a CRC exists, it reviews the candidate's dossier, the PTC's
422 recommendation, the chair's recommendation and the candidate's
423 rebuttal (if any); it then makes an independent recommendation to the
424 dean (who will not serve on this committee) and provides a copy to the
425 applicant. All members of the CRC shall sign the recommendation.
426 Significant minority opinions may be identified but need not be
427 attributed to individual members of the committee. Separate minority
428 reports may be written and submitted as an attachment to the report of
429 the committee; a minority report must be signed by the members of the
430 CRC that endorse it.

431

432

433 **3.E. Recommendation of the Dean**

434

435 If the candidate initiates a rebuttal after the chair's decision, the dean
436 will forward the rebuttal to the CRC before it begins deliberations.

437

438 After reviewing the candidate's dossier, all recommendations (those of
439 the PTC, department chair, and CRC), and the candidate's rebuttal (if
440 any), the dean will make an independent recommendation to the
441 provost.

442

443 After receiving the dean's decision, the candidate has five business
444 days to initiate either a rebuttal, if he or she did not do so after the
445 chair's decision (see 3.H.), *or* an appeal (see 3.G), but not both.

446

447 If the recommendation is positive, the dean informs the candidate. If
448 the candidate does not initiate a rebuttal, the dean forwards his or her
449 recommendation and the following *summary materials* to the provost:
450 the candidate's completed application forms, statement, curriculum
451 vita, letters of evaluation (annual reviews, peer reviews, and letters
452 from external evaluators, when appropriate), and the recommendations
453 of all prior review levels. The remainder of the applicant's dossier
454 shall be retained in the dean's office until the review process is
455 complete. If needed for their decisions, the provost and chancellor may
456 request the complete dossier be forwarded.

457

458 If the recommendation is negative, the dean shall meet with the faculty
459 member to review the recommendation.

460

461 If the candidate initiates a rebuttal after the dean's decision, the dean
462 forwards the summary materials and the rebuttal to the provost.

463

464 If the candidate initiates an appeal at this point, the dean forwards the
465 appeal to the Chair of the Faculty Appeals Committee (FAC). The
466 dean will provide the FAC with access to the candidate's dossier,
467 including the summary materials. When the FAC has completed its
468 deliberations, the Chair of the FAC forwards the committee's findings
469 to the provost with a copy to the dean. At this time, the dean forwards
470 the summary materials to the provost.

471

472

473 **3.F. Recommendation of the Provost**

474

475 After reviewing the candidate's summary materials, the rebuttal (if
476 any), and the appeal (if any), the provost will make an independent
477 recommendation to the chancellor and inform the candidate of the
478 recommendation.

479

480 After receiving the provost's decision, the candidate has five business
481 days to initiate an appeal, if he or she did not do so after the dean's
482 decision (see 3.G.).

483

484 If the candidate initiates a rebuttal or appeal after the dean’s decision,
485 the provost considers it in arriving at his or her decision.

486
487 If the candidate initiates an appeal at this point, the provost forwards
488 the appeal, the summary materials, and the rebuttal (if any) to the
489 Chair of the FAC. The dean will provide the FAC with access to the
490 candidate’s dossier. When the FAC has completed its deliberations,
491 the Chair of the FAC forwards the committee’s findings and summary
492 materials to the chancellor. The Chair of the FAC also provides a copy
493 the committee’s findings to the provost.

494
495 At this time, the provost forwards the summary materials, the rebuttal
496 (if any), and the findings of the FAC (if any) to the chancellor.

497
498

499 **3.G. Recommendation of the Chancellor**

500

501 After reviewing the summary materials, the rebuttal (if any), and the
502 appeal (if any), the chancellor will make an independent
503 recommendation to the president and inform the candidate of the
504 recommendation.

505
506

507 **3.H. Rebuttal**

508

509 The candidate may submit one—and only one—rebuttal after
510 receiving a decision from the chair *or* the dean. The rebuttal is directed
511 to the next administrator in the review process.

512

513 The candidate may submit a rebuttal even if the decision of the chair
514 or dean is positive. The purpose of a rebuttal is to provide the
515 candidate with an opportunity to correct errors made in the preparation
516 of his or her dossier, critique perceived misinterpretations of the
517 dossier, or provide context that might alter the recommendation at
518 subsequent levels of review. The rebuttal is in letter form. However,
519 the candidate may include limited supporting materials that bear direct
520 relevance to earlier decisions. The supporting materials are considered
521 part of the rebuttal and are forwarded with the letter.

522

523 The rebuttal is not an appeal; it does not prompt a reconsideration of
524 decisions by previous reviewers. It is, rather, an opportunity to provide
525 a supplement to the record that is considered at subsequent levels of
526 review.

527

528 *Rebuttal after Chair’s Decision.* To initiate the option of rebuttal at
529 this point, the candidate must notify the dean within five business days

530 of receiving the chair’s decision and provide a copy of the notification
531 to the chair. Within ten business days of receiving the chair’s decision,
532 the candidate must submit the rebuttal to the dean. The dean forwards
533 the rebuttal to the CRC before that committee begins deliberations.
534 The rebuttal is also forwarded with the summary materials to each
535 subsequent level of campus review.

536
537 *Rebuttal after the Dean’s Decision.* To initiate the option of rebuttal at
538 this point, the candidate must notify the provost within five business
539 days of receiving the dean’s decision. The candidate also provides a
540 copy of the notification to the dean. Within ten business days of
541 receiving the dean’s decision, the candidate must submit the rebuttal to
542 the provost. The rebuttal will be forwarded to the chancellor with the
543 provost’s recommendation.

544 545 546 **3.G. Appeal to Faculty Appeals Council (FAC)**

547
548 The candidate has the option of submitting one—and only one—
549 appeal to the Faculty Appeals Council. The appeal may be initiated
550 after a negative decision by either the dean *or* provost. If the dean’s
551 decision is negative and the candidate does not initiate an appeal, he or
552 she reserves the right to appeal after the provost’s decision, providing
553 that decision is also negative.

554
555 The appeal is in letter form. However, the candidate may include
556 limited supporting materials that bear direct relevance to earlier
557 decisions. The supporting materials are considered part of the appeal
558 and are forwarded with the letter.

559
560 *Appeal after the Dean’s Decision.* To initiate the option of appeal at
561 this point, the candidate must notify the provost within five business
562 days after receiving the dean’s negative decision. The candidate also
563 provides a copy of the notification to the dean. Within ten business
564 days of receiving the dean’s decision, the candidate must submit the
565 appeal to the provost. The provost forwards the appeal to the Chair of
566 the Faculty Appeals Council. Upon completion of the FAC’s
567 deliberations, the Chair of the FAC forwards the committee’s findings
568 to the provost.

569
570 *Appeal after the Provost’s Decision.* To initiate the option of appeal at
571 this point, the candidate must notify the chancellor within five
572 business days after receiving the provost’s negative decision. The
573 candidate will also provide a copy of the notification to the provost.
574 Within ten business days of receiving the provost’s decision, the
575 candidate must submit the appeal to the chancellor. The chancellor

576 forwards the appeal to the Chair of the FAC. Upon completion of the
577 FAC's deliberations, the Chair of the FAC forwards the committee's
578 findings to the chancellor.
579