

POLICY 6-300 AA-FPT-PO1

Promotion and Tenure

Contents

- I. Title
- II. Policy
- III. Definitions
- IV. Relevant Federal and State Statutes
- V. Relevant UT System and UTA Policies, Procedures, and Forms
- VI. Who Should Know
- VII. UTA Officer(s) Responsible for Policy
- VIII. Dates Approved or Amended
- IX. Contact Information

I. Title

Promotion and Tenure

II. Policy

A. Preamble

1. If a university is to perform its function effectively, it is essential that faculty members be free to express new ideas and divergent viewpoints in their teaching and scholarship. In the process of teaching and scholarship, accepted truths often must be challenged and questioned. A university must create an atmosphere that encourages faculty members to express ideas and

divergent viewpoints, and to pursue inquiries. Such an atmosphere exists at The University of Texas at Arlington (UTA), and tenure is essential to this atmosphere.

2. The decision to grant tenure and/or to promote a faculty member is among the most vital that take place in a university. The excellence of a university and its reputation and standing among its peers are determined by the achievements of its faculty and graduates. Accordingly, the promotion of faculty members and the granting of tenure are based primarily on demonstrated performance in three areas of professional responsibility: (1) teaching; (2) scholarship; and (3) service to the institution and the profession.

B. General Principles

Pursuant to Regents' *Rules and Regulations, Rule 31007, Tenure*, a description of the promotion and tenure procedure is provided below. The following principles inform those procedures:

1. The promotion and tenure process for the University will be initiated annually by the Office of the Provost in a manner that allows sufficient time to secure evaluations of the candidate by peers outside the University. Deadlines will be specified for submittal of tenure and promotion materials to the appropriate review committees, department chairs (if appropriate), deans and the Provost.
2. Only full-time faculty in tenure track positions (assistant, associate, and full professors) are eligible for tenure.
3. All tenure track faculty members must be reviewed for tenure following completion of their five-year probationary period unless on an approved leave or if the probationary period has been extended by an earlier approved leave.
 - a. For faculty members, whose employment begins between 2 September and 31 August, the tenure clock will start on September 1 of the academic year following their employment start date.

4. A faculty member in a tenure track position may request consideration for tenure and promotion prior to the completion of their fifth year, however, such a decision should be supported by a dossier which is exceptionally strong and/or includes work accepted for the dossier by negotiation at the point of hire.
 - a. The outcome of an early tenure consideration will be one of the following:
 - i. Approval of early promotion and tenure; or
 - ii. Denial of early promotion and tenure, but approval of renewal and continuation of probationary period; or
 - iii. Denial of early promotion and tenure and notification of non-renewal as tenure track faculty, with the terminal year commencing the following year.
 - b. Under no circumstances may a faculty member be considered for tenure more than two times.
 - c. Faculty may not be considered for tenure in a terminal year.
5. Consideration for tenure commences once the first external review letter has been requested.
6. Faculty members who determine that personal circumstances may impede their progress toward earning tenure may make a written request to their chair, or in the case of the schools, to their dean, for an extension, specifying the reason(s) for the requested extension. Personal circumstances that may justify the extension include, but are not limited to, birth of a child, disability or illness of the faculty member, and status of the faculty member as a principal caregiver of a preschool child or a disabled, elderly, or ill person in the faculty member's family or household. It is the responsibility of the faculty member to provide appropriate documentation demonstrating why the request should be granted.

- a. An extension shall be limited to one academic year. A request for an additional extension will follow the established request process, with the maximum duration of extension, whether consecutive or nonconsecutive, to be two academic years.
 - b. Normally, requests for extension must be made in advance of the academic year or semester for which the extension is desired, and may be made no later than three months prior to the deadline for initiation of the mandatory tenure review process as provided under Section 1 of the Regent's *Rules and Regulations*, Rule 31002, Notice of Non-renewal to Non-tenured Faculty Members.
 - c. The decision regarding the request shall be made by the Provost upon recommendation of the department chair and the dean, within fifteen (15) working days from the date the request is made.
 7. Individuals who have held positions in other organizations (generally faculty positions at other institutions of higher education) may join the University with shortened probationary periods or with tenure, upon recommendation of the appropriate departmental/school promotion and tenure (P/T) committee, the department chair (if applicable), the dean, and approval by the Board of Regents. In every case, the terms and conditions of such employment must be made explicit and in writing.
 8. Individuals who already have tenure and are submitting a dossier for promotion may withdraw that submission at any time in the process without prejudice. If an individual applying for promotion withdraws a dossier, he/she must wait two years to apply again, i.e. he/she may not reapply in the following academic year. External letters must be requested once again. Existing letters may not be used in future dossiers.
- C. Standards for Promotion and Tenure

Each academic unit must provide clear guidance to faculty members relating to performance evaluation. Each academic unit must develop detailed written standards that define the unit's expectations for promotion and tenure and include specific descriptions of the evidence required to demonstrate distinction in the

areas of teaching, scholarship, and service. This is essential for conducting annual performance reviews as well as for setting objectives for the promotion and tenure process. These guidelines shall be made available to all faculty in the academic unit and a copy shall be included in the faculty member's dossier through all the stages of review. Led by the chair, each academic unit will conduct a review of the guidelines at least every five years. The following principles shall inform the development of the unit's standards for promotion and tenure.

1. Teaching

Faculty members seeking promotion and/or tenure are expected to demonstrate effective teaching of undergraduate and graduate students (where applicable). Because teaching effectiveness is not accurately assessed by a single indicator, a variety of indicators may be utilized. All faculty members being considered for promotion and/or tenure are expected to provide a statement elaborating their approach to teaching and their teaching philosophy, as well as a summary of student responses to the university-mandated teaching-evaluation questions for every class taught. In addition, the faculty member's application for tenure and/or promotion should be supplemented with some or all of the following:

- a. Student ratings, grade distributions, and number of students taught.
- b. Teaching assignments (to include course number, title and semester taught) and course syllabuses.
- c. Evidence of willingness and ability to supervise independent studies, to prepare graduate students for qualifying examinations, and to direct theses and dissertations.
- d. Evidence of willingness and ability to undertake administrative activities that are directly related to curriculum development and to assume duties of student advising.
- e. Evidence of contribution to improving teaching effectiveness such as the development, implementation, and publication of innovative educational methods and materials.

2. Scholarship

Faculty members seeking promotion and/or tenure are expected to demonstrate distinction in the area of scholarship. Excellence in scholarship may be demonstrated by creative activity and/or research. Documentation of excellence will include the informed judgment of the faculty member's peers. Evidence of scholarship may include, but is not limited to, the following:

- a. Scholarly books, chapters, essays, or peer reviewed journal articles published or certified as accepted for publication, and editorial activities.
- b. Significant creative and professional work (e.g., art, architecture, theater, music, film, dance), awards for creative writing, and special recognition for performances, exhibits, or achievement.
- c. Sponsored activities, funded grants and contracts received, and intellectual properties developed.

3. Service

Faculty members seeking promotion and/or tenure are expected to participate as citizens of the University and of the profession. Service to the University may include membership in governance bodies and committees, administrative duties, program planning and development, and special administrative assignments. Service to the profession may involve assisting various constituencies in areas related to the faculty member's area of expertise. Because of the diversity of units and variations in the extent and character of their external interactions, service activities will be manifested differently but will have a common connectedness to teaching and scholarship. Documentation of service activity may include, but is not limited to, the following:

- a. Offices held and committee membership and contributions at the department, school, college and university levels.
- b. Service and offices held in professional associations.

- c. Involvement in community events related to the faculty member's area of professional expertise.
- d. Participation at the local, state, national and international levels in activities related to the faculty member's area of professional expertise.
- e. Promotion of alumni support for the University.
- f. Active involvement in student recruitment and retention.
- g. Television and radio appearances, as well as newspapers and newsletter editorials of a professional nature.
- h. Clinical practice or activities.
- i. Service on a professional certification body.

D. Annual Review

A comprehensive review of each tenure-track faculty-member's progress toward tenure will be conducted annually by the Departmental/School Promotion and Tenure (P/T) Committee. Each academic unit must establish written protocols for materials to be submitted by the candidate and a deadline for submission. The committee will develop a written report on the faculty member's teaching, scholarship, and service, describing the accomplishments of the faculty member and detailing any deficiencies that need to be addressed. The committee will vote, by secret ballot, regarding reappointment and the results of the vote will be included in the committee's report. Copies of the report will be provided to the faculty member and to the department chair or, in the case of the schools, to the dean of the school within ten (10) working days of the vote. In the case of the colleges, the department chair shall place in writing a recommendation to reappoint or not reappoint the tenure-track faculty member and forward the recommendation to the dean. The deans of the colleges and the schools shall review the recommendation and make an independent recommendation to reappoint or not reappoint and forward all the recommendations to the Provost. Copies of all the recommendations will be placed in the faculty member's dossier, where they will be retained according to the University's records retention schedule.

E. Promotion and Tenure Process.

1. The Office of the Provost will initiate the promotion and tenure process each year by informing deans of the timeline for submission of promotion and tenure dossiers to the Provost. Deans shall use this timeline to develop an internal timeline and communicate this timeline to all faculty members in their units. A description of the required dossier materials and their format is available at <http://www.uta.edu/provost/administrative-forms/tenure-promotion/> or from the Office of the Provost.
2. Faculty in colleges will begin the review process with their Departmental P/T Committee. Faculty in schools will begin the review process with their School P/T Committee.

- a. Departmental P/T Committee Review

- i. Committee Composition

Departments will establish Departmental P/T committees. Departmental committees will have a minimum membership of three (3) tenured faculty. Committee size, composition (number of faculty in each rank), membership, and term of office will be decided by vote of the tenured and tenure track voting faculty of the department. Deans, assistant and associate deans, chairs or equivalent are not eligible to serve on the committee. If the department lacks sufficient tenured faculty members to constitute a committee, qualified faculty from related disciplines shall be selected by vote of the voting faculty of the department.

- ii. Committee Duties

The Departmental P/T Committee will review the faculty member's submitted materials and develop a written report. The report should recommend tenure or denial of tenure, or, if appropriate, promotion. A secret vote on the recommendation by the Departmental P/T Committee shall

be conducted and the results recorded in the report. P/T guidelines adopted by the department may also require that all tenured faculty members in the department cast a secret vote on the report and recommendation made by the Departmental P/T Committee. This vote, if required by department guidelines, shall also be recorded in the report. The report shall be added to the dossier and forwarded to the department chair.

b. Departmental Chair Review

Upon receipt of the Departmental P/T Committee written report, the departmental chair will review the recommendation made by the Departmental P/T Committee, the vote of tenured faculty (if applicable), and the faculty member's dossier and make an initial recommendation regarding tenure and/or promotion. The chair will then meet with the candidate to provide a copy of the complete dossier, including redacted external letters, but excluding external reviewer curricula vitae. The departmental chair will discuss the dossier, the P/T committee recommendation, and the chair's initial recommendation. The candidate will then have five business days to provide a written, two-page maximum, response if he or she wishes to do so. This response shall be added to the candidate's dossier. The department chair will then make an independent written recommendation regarding tenure and/or promotion based on the candidate's dossier, the Departmental P/T Committee recommendation, the vote of tenured faculty (if applicable) and the candidate's response letter (if any). This recommendation should be a comprehensive and objective evaluation of the candidate's dossier and performance, including contextual information relevant to the department and the decision. The recommendation shall be added to the dossier and forwarded to the College P/T Committee.

c. College P/T Committee Review

i. Committee Composition

The college will establish a College P/T Committee. The College P/T Committee will have a minimum membership of three (3) tenured faculty. Committee size, composition (number of faculty in each rank), membership, and term of office will be decided by vote of the tenured and tenure track voting faculty of the college. Committee members will be elected in a manner prescribed by the voting members of the college faculty. Deans, assistant and associate deans, chairs or equivalent are not eligible to serve on the committee. If the college lacks sufficient tenured faculty members to constitute a committee, qualified faculty from related disciplines shall be selected by vote of the voting faculty of the college.

ii. Committee Duties

The College P/T Committee will review Departmental P/T Committee and department chair recommendations, offer an independent evaluation of the faculty member's dossier, and make a written recommendation regarding tenure and/or promotion. A vote by secret ballot shall be conducted and the results of the vote recorded in the report. Any dissenting viewpoints from committee members shall be included in the report. The report shall be added to the dossier and forwarded to the dean.

d. School P/T Committee Review

i. Committee Composition

Schools will establish P/T committees. School P/T committees will have a minimum membership of three (3) tenured faculty. Committee size, composition (number of faculty in each rank), membership, and term of office will be decided by vote of the tenured and tenure-track voting faculty of the school. Deans, assistant and associate deans, chairs or equivalent are not eligible to serve on the committee. If the school lacks sufficient tenured faculty members to constitute a committee,

qualified faculty from related disciplines shall be selected by vote of the voting faculty of that school.

ii. Committee Duties

The School P/T Committee will review the faculty member's submitted materials and develop a written report. The report should recommend tenure or denial of tenure, or, if appropriate, promotion. A vote by secret ballot by members of the School P/T Committee shall be conducted and the results of the vote recorded in the report. P/T guidelines adopted by the school may also require that all tenured faculty members in the school cast a secret vote on the report and recommendation made by the School P/T Committee. This vote, if required by school guidelines, shall also be recorded in the report. The report shall be added to the dossier and forwarded to the dean.

e. Dean Review

The dean will review the previous recommendations and the faculty member's dossier, make an independent assessment and recommend, in writing, tenure or denial of tenure, or, if appropriate, promotion. This recommendation should be a comprehensive and objective evaluation of the candidate's dossier and performance, including contextual information relevant to the college and the decision. This recommendation shall be added to the faculty member's dossier and forwarded to the University P/T Committee.

f. University P/T Committee Review

i. Committee Composition

The University P/T Committee shall consist of one tenured, full professor from each academic college or school in the University who are highly respected and are teaching and research active. The Faculty Senate Committee on Tenure and

Academic Freedom and Responsibilities shall collect nominations from tenured and tenure-track faculty and serve as the nominating committee for membership. Upon nomination of a slate of candidates, tenure-track and tenured faculty in their respective college or school will vote for membership for their respective representative. A plurality is required for a nominee to be elected.

In addition, the University P/T Committee shall include one member from the Academy of Distinguished Scholars and one member from the Academy of Distinguished Teachers. Each academy shall elect a member from its ranks who fulfills the eligibility requirements. The Vice President for Research and the Chair of the Faculty Senate shall serve as non-voting, ex-officio members of the University P/T Committee.

With the exception of the initial committee, half of which will serve for three years, the term of service shall be two years. Commencing after the second year of the initial committee, one-half of the committee's membership will be elected each year. Committee members shall serve no more than three consecutive terms

Eligibility: Committee candidates shall meet the following requirements for service: 1) full professor with tenure, and 2) no full-time administrative appointment (defined as chair and above).

- ii. Committee Duties:
- iii. The University P/T Committee shall review the previous recommendations and all information contained in the faculty member's dossier. The committee shall recommend whether to tenure and/or promote the faculty member. A vote shall be conducted and the documented result, along with a

comprehensive and detailed written recommendation, shall be presented to the Provost.

- g. Upon receipt of the candidate's full dossier and recommendation from the University P/T Committee, the Provost shall review the dossier. A written recommendation will be provided to the President with a comprehensive rationale for the recommendation. Upon receipt of the candidate's full dossier and recommendation from the Provost, the President shall render one of the following decisions:
 - i. Recommend to the Board of Regents a tenure-track faculty member for tenure and promotion. Tenure and promotion will be awarded pending approval of the Board of Regents.
 - ii. Deny the tenure-track faculty member's request for tenure and promotion. The President shall inform the faculty member of the decision within ten (10) working days of reaching it. If the decision occurs at the end of the probationary period, the President shall inform the faculty member that he/she will not be reappointed, that the next academic year will be the terminal year, and that the faculty member has exhausted the opportunities for tenure and promotion.
 - iii. Recommend to the Board of Regents a tenured faculty member for promotion. Promotion will be awarded pending approval of the Board of Regents.
 - iv. Deny a tenured faculty member promotion. The President shall inform the faculty member of the decision within ten (10) working days of reaching it.
- h. A copy of the College/School P/T Committee recommendation and the dean's recommendation will be provided to the candidate upon request after a final decision has been made by the President.

F. Outside Reviewer Letters

The Departmental P/T Committee shall be the primary authority for evaluating the faculty member's teaching effectiveness, service contributions, scholarly, creative and/or professional work. Independent outside reviews shall be used as supplementary evaluation of the faculty member's scholarly, creative and/or professional contributions to his/her discipline. Each Departmental/School P/T Committee shall use the following procedure to obtain outside review letters.

1. Number and Selection of Reviewers

The dossier must include a minimum of six (6) outside review letters, at least three (3) of which should come from a list of reviewers nominated by the Departmental/School P/T Committee, and at least three (3) from a list of reviewers nominated by the candidate. All outside review letters received shall be included in the candidate's dossier.

2. Qualifications of Reviewers

- a. Outside reviewers must be respected scholars of appropriate rank or stature who serve in the faculty member's field of training, specialty, or a closely related field, the majority of whom should be full professors.
- b. Individuals who have served as dissertation committee members or co-authors with the faculty member shall not be selected as outside reviewers.

3. Administrative Responsibility

- a. The department/School P/T Committee shall prepare letters requesting outside reviews.
- b. The chair of the department or school, or the program director where appropriate, shall ensure that outside reviewers and the office of the University Attorney are given enough time to meet the deadlines for the tenure and promotion process.

- c. The chair of the Departmental/School P/T Committee shall ensure that the candidate is notified when outside review letters have been requested and received.
- d. The chair of the Departmental/School P/T Committee shall forward copies of all external letters to the office of the University Attorney, who will coordinate the redaction of the letters.
- e. The chair of the Departmental/School P/T Committee shall ensure that the redacted letters are forwarded to the candidate after the dossier is submitted but before the department chair report is finalized and submitted. The candidate shall have one week to provide no more than an optional two-page response to address any factual errors in the letters if he or she wishes to do so. This optional response shall be added to the candidate's dossier upon receipt.
- f. The chair of the Departmental/School P/T Committee shall ensure that non-redacted letters and external reviewer curricula vitae are placed in the dossier together with the response(s) of the candidate. At no point in the review process shall the candidate see the non-redacted letters or external reviewer identifying material.

4. Content of letters Requesting Outside Reviews

- a. Letters requesting an outside review shall specifically ask for an evaluation of the faculty member's record of scholarly, creative and/or professional work in his/her discipline, a general assessment of his/her vita, and how they know the faculty member. The material for review should include a current curriculum vitae and a sample of the faculty member's most significant published or creative/professional works as determined by the faculty member.
- b. The contents of all outside review letters will be redacted by the office of the University Attorney. All letters requesting an outside review must include the following statement: " Under university policy, your complete letter will become a part of the official tenure and promotion dossier. A copy of the letter will be shared with the

candidate in redacted form. The redaction will remove any personal or institutional identification." Non-redacted letters shall be kept in confidence to the extent permitted by law.

- c. Only commentary above the signature line of the letter writer shall be considered by those in the review process evaluating the candidate's dossier.

5. Summary of Outside Review Process

6. The chair of the Departmental/School P/T Committee shall prepare a [summary](#) of the results of the outside review process. This summary shall specify the total number of letters that were requested from external reviewers, indicating the number of requests that were a) unanswered, b) declined, c) accepted but not completed, and d) accepted and completed. The summary shall then list the name, position, and organization of each person from whom evaluation letters were received but shall not specify whether the author of the letter was nominated by the candidate or by the committee. Additionally, the P/T committee chair's summary shall include a sample of the letter sent to external reviewers soliciting the request for a review and a list of the materials sent to the reviewers for evaluation. The P/T committee chair shall also provide relevant information about each reviewer's professional / academic qualifications for evaluating the candidate for tenure and/or promotion, such as a copy of the reviewer's curriculum vitae (full or abbreviated), documentation appearing on the reviewer's professional website, or a justification statement written by the P/T committee chair; material about reviewers' qualifications shall be placed among the candidate's supporting materials in an appropriately marked folder.

G. Confidentiality

All committee proceedings and discussions will be strictly confidential to the extent permitted by law and university regulations. Committee members shall not divulge any information pertaining to their committee meetings, discussions, or recommendations.

H. Review of Tenure and Promotion Decisions

1. It is the right of a faculty member to appeal an unfavorable tenure and/or promotion decision once it has been rendered by the President. Upon receipt of a negative decision by the President, the faculty member will have five (5) working days in which to file with the Provost, a written notice of the intent to grieve the decision. Upon receipt of the written notice, the Provost will schedule a meeting with the faculty member within ten (10) working days. The faculty member may present a grievance, in person, to the Provost on an issue or subject related to the decision to deny tenure and/or promotion. The Provost shall notify the faculty member of the result of the grievance within ten (10) working days. The decision is not subject to further review except as provided by Section 2 below.
2. A decision to deny tenure and promotion that results in a notification that the subsequent academic year will be the terminal year of appointment is subject to review under Regents' Rules and Regulations, *Rule 31008*, Termination of a Faculty Member. In accordance with HOP policy 6-350, Section 6-352, a review by a hearing tribunal shall be granted only in those cases where the affected faculty member submits a written request for review by a hearing tribunal to the President and describes in detail the facts relied upon to prove that the decision was made for reasons that are unlawful under the Constitution or laws of Texas or the United States. Such a request for a hearing must be submitted within ten (10) working days of the written notification to the faculty member that the subsequent academic year will be the terminal year of appointment. If the President determines that the alleged facts, if proven by credible evidence, support a conclusion that the decision was made for unlawful reasons, such allegations shall be heard by a hearing tribunal. The President shall, within fifteen (15) working days of receipt of the written request for review schedule a day and time for the hearing. The hearing shall be conducted in accordance with the procedures in Regents' Rules and Regulations, *Rule 31008* Termination of a Faculty Member, as in the case of dismissal for cause, with the following exceptions:

- a. The burden of proof is upon the affected faculty member to establish by the greater weight of the credible evidence that the decision in question was made for reasons that are unlawful under the Constitution or laws of Texas or the United States;
- b. The administration of the University need not state the reasons for the questioned decision or offer evidence in support thereof unless the affected faculty member presents credible evidence that, if unchallenged, proves the decision was made for unlawful reasons;
- c. The hearing tribunal shall make written findings and recommendations based on the evidence presented at the hearing and shall forward such findings and recommendations with the transcript and exhibits from the hearing to the President; and
- d. The President may approve, reject, or amend the recommendations of the hearing tribunal or may reach different conclusions based upon the record of the hearing. The decision of the President shall be final and communicated to the faculty members within fifteen (15) working days from the receipt of the hearing tribunal's written report.

I. Third Year Pre-Tenure Review

During the third year of each untenured tenure-track faculty member's service, the faculty member's department or school will implement a more extensive review of the faculty member's performance. This pre-tenure review, which replaces the regularly scheduled annual review for that academic year, will serve as a midpoint review of the faculty member's progress toward meeting requirements and expectations for tenure and promotion.

1. The criteria to be referenced in this third-year review are those that will be used in consideration for promotion and tenure: while it is not expected that the faculty member will have fully met these criteria, there should be sufficient evidence that the faculty member is making timely progress toward tenure. As the third year review is diagnostic in nature, any recommendation made at the time of the third year review should not be

construed as binding upon the academic unit or the University at the time of tenure and promotion consideration: a satisfactory performance with a recommendation for reappointment is no guarantee of ultimately earning tenure.

2. Similar to the annual review, the third year pre-tenure review must be conducted in accordance with written protocols as established by each academic unit. The protocols must include statements regarding what materials are to be submitted by the candidate and a submission deadline, which, for the third year pre-tenure, must be scheduled between January 15 and February 1. Exceptions to this schedule for faculty whose service commenced at a time other than the beginning of an academic year may be requested in writing by the candidate to the dean of his/her college or school.
3. The third year pre-tenure review is an institutional-internal process; no external reviews are to be solicited.
4. The P/T committee will develop a written report on the faculty member's progress, including specifics about the candidate's strengths and any areas of deficiency as these specifically related to the unit's guidelines for tenure and promotion.
 - a. Each member of the P/T committee will vote, by secret ballot, for one of three recommendations:
 - i. Recommend appointment without reservations
 - ii. Recommend appointment with reservations
 - iii. Recommend against reappointment
 - b. If a tenure-track faculty member is reappointed "with reservations", these reservations must be stated in writing.
 - c. The results of the vote will be included in the committee's report. Copies of the report will be provided to the faculty member and to the departmental chair, or in the case of the schools, to the dean of

the school within ten (10) working days of the vote. In the case of the colleges, the departmental chair shall, within ten (10) working days of receiving the P/T committee's report, review the committee's recommendations, make an independent recommendation, place in writing one of the three above listed recommendations, and forward all reports and recommendations to the dean. The dean of the college or the school shall review these recommendations and make an independent recommendation from the list above and forward the recommendation to the Provost.

5. If a tenure-track faculty member is reappointed "with reservations" as the result of the third year pre-tenure review, the faculty member must undergo a comparable review during the immediately following year (i.e., year four). This subsequent "fourth year pre-tenure review" must follow the same process as outlined for the original pre-tenure review. In the case of this subsequent fourth year pre-tenure review, each member of the P/T committee will vote, by secret ballot, for one of only two recommendations:
 - a. Recommend reappointment without reservations
 - b. Recommend against reappointment

The results of the vote will be included in the committee's report. Copies of the report will be provided to the faculty member and to the departmental chair or, in the case of the schools, to the dean of the school within ten (10) working days of the vote. In the case of the colleges, the department chair shall, within ten (10) working days of receiving the P/T committee's report, place in writing to the dean. The dean of the college or the school shall review these recommendations and make an independent recommendation from the list above and forward the recommendation to the Provost.

6. All deliberations regarding a faculty member's pre-tenure review are to be concluded no later than the final day of classes prior to the commencement of Spring Break of the same academic year. Candidates should be notified of the outcome of the pre-tenure review process within ten (10) working days of the dean's final decision.

7. Copies of all the recommendations will be placed in the faculty member's personnel dossier where they will be retained according to the University's records retention schedule.
8. Per the procedures outlined here, no faculty member will be reappointed "with reservations" more than once prior to his/her formal consideration for tenure and promotion.

J. Pre-Tenure Research Reapportionment Program

1. Program Scope: The Pre-Tenure Research Reapportionment ("Research Reapportionment") Program provides select tenure-track faculty members in their fourth year of service with temporary relief from teaching organized courses, thereby allowing additional time to realize research-related goals and assist the University in its efforts to achieve Tier One status. Faculty awarded a research reapportionment continue to be employed full-time by the University and, as such, are expected to fulfill all other professional responsibilities to their academic units, including participation at faculty meetings, service on committees, and supervision of student research and creative activities.
2. Program Limitations: The research reapportionment is not a leave. It is a temporary redistribution of the faculty member's professional responsibilities such that the proportion of effort otherwise assigned to teaching is reduced while the proportion of effort assigned to research is correspondingly increased (with no net change to the proportion of effort assigned to service). While such an arrangement allows the faculty member additional flexibility with regard to engaging in professionally-related travel, the faculty member is expected to remain in residence during the reapportionment period. Moreover, as a full-time employee of the University during the reapportionment period, the faculty member must honor all university employment policies, including those regarding outside employment and conflicts of interest. Faculty members whose full-time appointment at UTA is supported in part or in full by an externally funded grant managed through the University shall continue to honor such contracts. Pursuant to The University of Texas System Board of Regents *Rule* 31006, Academic Workload Requirements, the President of the University must ensure that the

academic workload credit granted to each tenure-track faculty member under the Research Reapportionment Program falls within 1% of the total semester credit hours taught at the University during the comparable (fall or spring) semester the previous year.

3. Eligibility: Members of the UTA faculty eligible for a research reapportionment must meet all of the following requirements:
 - a. Have held a tenure-track appointment at UTA for at least three years prior to the commencement of the research reapportionment period.
 - b. Have, since initial appointment to the UTA faculty, satisfied all basic professional requirements regarding the posting of course syllabuses and submission of course grades (both interim grades and final grades) in a timely and appropriate fashion, as determined by the Provost.
 - c. Have successfully completed the third year pre-tenure review process as described in the UTA Handbook of Operating Policies, Policy 6-309.
 - d. Have, as a result of the third year pre-tenure review process, been reappointed to the faculty:
 - i. without reservations" or
 - ii. "with reservations" and received approval from their dean to participate in the Research Reapportionment Program per the terms of a written development plan that has been mutually agreed upon and signed by the faculty member, department chair or program director, and dean.
 - e. Those *not* eligible for a research reapportionment under this program include those who:
 - i. Are not employed as full-time tenure-track faculty by UTA for any portion of the academic year for which the research reapportionment is awarded; or

- ii. Have earned tenure at UTA or
 - iii. Have previously been appointed at UTA "with reservations" and have not secured written approval from their dean to participate in the program.
- f. The Provost, in consultation with the appropriate dean, the Vice President for Human Resources, and the President, may limit, adjust, or preclude participation in the Research Reapportionment Program for faculty members who have been granted a leave of any type or duration since their initial appointment at UTA.

4. Period of Award

- a. The research reapportionment shall be awarded during the academic year immediately following the completion of the faculty member's third year pre-tenure review.
- b. The research reapportionment may take one of two forms, as either:
 - i. A 100% reduction of teaching responsibilities in organized courses (i.e., those designated "lecture," "seminar" or "lab") for one long semester (i.e., fall or spring); or
 - ii. A 50% reduction of teaching responsibilities in organized courses for each of the long semesters in the reapportionment year.
- c. The period of the research reapportionment shall be determined jointly by the faculty member and the department chair or program director and then approved by the dean.
 - i. In the case that there is a failure to reach consensus on the reapportionment period, the faculty member's dean shall decide.
 - ii. The dean's decision on the reapportionment period shall be final.

- d. By the last Wednesday of May in the year preceeding the academic year in which research reappportionments are to be realized, each dean shall submit to the Provost a list of program participants from his/her school or college. The list shall include each participant's:
 - i. Name;
 - ii. Department or program;
 - iii. Designated research reappportionment period;
 - iv. Reappointment status recorded for the third-year pre-tenure review (i.e., "without reservations" or "with reservation"); and
 - v. If applicable, a copy of any signed development plans formulated in conjunction with any faculty member's participation in the program.
5. Terms of Award: during the research reappportionment period, the faculty member shall:
- a. Be appointed on a 100 percent time basis at his/her nine-month academic rate.
 - b. Be relieved of responsibility for teaching organized courses per the terms of the reappportionment period (as described in section 4).
 - c. Continue to assume responsibility for serving as the instructor of record in courses bearing other instruction types (e.g., "thesis," "dissertation," "practicum") so as to provide continuity in his/her capacity as a supervisor of student research and/or creative activities.
 - d. Continue to contribute to the ongoing functioning of his/her department or program, college or school, and the University by attending to duties required for any assigned committees or similar bodies (including Faculty Senate, Undergraduate Assembly, and Graduate Assembly).

- e. Reserve the right to decline assignment of any additional service obligations beyond those assigned during the previous academic year.
6. Institutional Support: the awarding of a research reappointment to promising tenure-track faculty is an investment in the future of the institution to be shared by the faculty member's academic unit and the central administration.
- a. Adjustments to the Schedule of Classes: the faculty member's department or program must make any reasonable adjustments to the unit's schedule of classes to accommodate the research reappointment, including (but not limited to):
 - i. Reassigning course sections that would have otherwise been taught by a program participant to other qualified faculty,
 - ii. Adjusting enrollment caps in other sections to accommodate the temporary loss of instruction in a particular course, or
 - iii. Offering students in need of a temporarily unavailable course an alternative means of satisfying a degree requirement. Under no circumstances and at no time either prior to or after the reappointment period should the faculty member incur any additional teaching burden on account of having been awarded a research reappointment.
 - b. Funding: The Office of the Provost and Vice President for Academic Affairs will supplement the instructional budget of the faculty member's department or program with an amount equal to 50% of any additional one-time salary expenditures incurred by the academic unit for covering the courses of the faculty member who has been granted the research reappointment.
7. Continuation and Termination of the Program

- a. Continuation of the Research Reapportionment Program is at the sole discretion of the Provost, who reserves the right to consider termination of the program at any time.
- b. Any decision to terminate the program will be taken only after due consideration is given to faculty members for whom a research reapportionment has already been approved.
- c. Notice that the program is to be terminated will be provided by the Provost to the academic deans and to the chair of the Faculty Senate in the academic year immediately preceding the program's termination.

III. Definitions

N/A

IV. Relevant Federal and State Statutes

N/A

V. Relevant UT System and UTA Policies, Procedures, and Forms

- UT System Regents' *Rules and Regulations, Rule31007, Tenure*
- UT System Regents' *Rules and Regulations, Rule31008, Termination of a Faculty Member*
- UT System Regents *Rules and Regulations, Rule 31006, Academic Workload Requirements*
- UTA Handbook of Operating Policies, Policy 6-350, Tenure
- UTA Handbook of Operating Policies, Policy 6-309, Promotion and Tenure

VI. Who Should Know

UTA faculty, department chairs, directors, and deans

VII. UTA Officer(s) Responsible for Policy

The Office of the Provost and Vice President for Academic Affairs

VIII. Dates Approved or Amended

August 21, 2017, September 10th, 2018

IX. Contact Information

All questions concerning this policy should be directed to the Office of the Provost and Vice President for Academic Affairs