

## Promotion and Tenure – 403.15

### Policy:

#### 1. Faculty Roles

For the university to achieve its mission, faculty must remain committed to teaching, scholarship, and service. Faculty members are expected to make contributions in each area, although some variation in emphasis is appropriate. The university recognizes that the contributions of individual faculty members to the mission of the university shift according to the faculty member's talents, the needs of departments and colleges, and the character of diverse academic disciplines. Pursuant to faculty governance principles, faculty members, thus, need to determine responsibilities—teaching loads, scholarship agenda, and service commitments—in consultation with the chair of their department. (Note: In this policy, 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.) It is the responsibility of chairs to mediate the needs of their departments with the university mission and trends in the department's discipline.

The grants of authority set forth in this policy exclusively delineate the items that may be considered during the promotion and tenure process. These rules shall be applied employing the maxim of *Ejusdem generis*, i.e., when a general term is coupled with non-exhaustive specific examples, the specific examples define and limit the scope of the general term.

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

or professions

#### 1. A. Teaching

The nature of effective teaching may vary across disciplines, but certain qualities are universal: ~~respect a desire for students accomplishment, faith in student abilities,~~ a focus on ~~valuing~~ student learning and a commitment to ~~providing an opportunity for~~ student success. Equally important, faculty should ~~view themselves as role models who~~ convey the values of their disciplines and initiate students into their professions. In the pursuit of excellence in teaching, faculty members should remain current in their disciplines and in pedagogical strategies. ~~They should consider teaching a continual process of individual improvement and growth in which they as faculty are free to individually experiment with, and decide upon, teaching and grading methods, including methods that ultimately prove unsuccessful.~~

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

1. Statement of teaching philosophy and pedagogical strategies;

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.

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

## 1. B. Scholarship

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

Scholarship is evaluated internally and externally; scholarship and creative activities must be reviewed by methods accepted by the appropriate discipline. Scholarship may be defined in ways that do not neatly fit into traditional categories, but application of a clear method of review to such work is essential and required within each department.

Increasingly, ~~all~~ many forms of scholarship involve collaboration. The academic unit is encouraged to promote ~~shall determine if~~ such collaboration within or across institutional and disciplinary lines ~~is encouraged~~. Candidates must be careful to document the extent and form of their contributions to collaborative work.

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

**Scholarship of Discovery** is systematic inquiry or investigation designed to validate and refine existing knowledge and to generate new knowledge. At its core, this scholarship involves studies that use quantitative or qualitative methodologies to make significant contributions to knowledge. Primary empirical research, historical research, theory development, methodological

studies and philosophical inquiry are all representative of this form. Typically, this scholarship is documented through peer-reviewed publication of articles or books; publication in law reviews or journals; papers presented at state, regional, national, or international meetings resulting in publication; or grant awards resulting in publication; ~~or recognition by professional organizations as a scholar in a particular area.~~

restore previous language

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

**The Scholarship of Application** is the use of professional expertise or information in the process of solving social or community problems. It should not be confused with service or citizenship. Service activities typically benefit a particular group, organization, or community; the Scholarship of Application can potentially benefit many organizations. The Scholarship of Application must include a mechanism whereby the quality and influence of the contribution can be evaluated. This is most easily demonstrated when an artifact is created encompassing the work, e.g., a report, a training manual, a program evaluation, a video, or a website. Some activities include peer review; for example, the report written for a task force is reviewed by members of the task force as well as other agencies and institutions. In cases where this is not so, the department should initiate an alternative review process, such as sending the work to experts in the field to evaluate its significance, rigor, and impact. In all cases, the product of the scholarship of application must be subject to some form of peer review.

**The Scholarship of Integration** involves synthesis across theories or across academic fields. As academics tackle social, economic, and technical problems, a need often exists for faculty members with broad and multidisciplinary perspectives to see connections across the unique perspectives of a theory or discipline.

The Scholarship of Integration may result in a traditional academic product such as an article, book, or published presentation. It also may take the form of a product or patent. As in other areas, appropriate forms of external review must be used to determine the merit of such products.

**The Scholarship of Teaching** is not the same as “best teaching practice.” Tenure-track faculty seeking advancement based on excellence in the Scholarship of Teaching shall engage in publication appropriate to development and evaluation of teaching, teaching technique, curriculum development and related topics, including peer-reviewed publications, published conference presentations and workshops, and teacher handbooks that contribute to the theoretical base of knowledge about curriculum or effective teaching and teaming. Thus, the Scholarship of Teaching is more than being an excellent teacher. It involves (1) systematic

inquiry about teaching, (2) dissemination of the results, and (3) peer review or compliance with other disciplinary practices.

### **1. C. Service**

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

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

Service to the profession is also expected, especially as faculty members develop their careers. Professional service includes activities such as serving on committees for a professional organization; planning a conference or event; contributing to the production of a professional journal; and reviewing manuscripts, grants, programs, or textbooks.

Particularly important to a metropolitan university is service to the community. Such activity necessarily incorporates a wide variety of efforts but is defined by the application of the faculty member's professional expertise to help the community at every level — local, state, regional, national, or international. Typical examples of community service include, but are not limited to, involvement in task forces seeking to solve community problems; consulting with governmental, business, or nonprofit- committees, bodies, or organizations, or members thereof; and program review, coordination, or development. ~~Assisting or advising governmental officials, such as the Governor, Lt. Governor, and legislators is particularly important to a metropolitan university in the capital city.~~

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

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

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

### **1. D. Professional Performance**

In the case of faculty with non-teaching appointments, evaluation may include evidence of the following: performance in the areas of professional responsibility and effectiveness in carrying out assigned duties; ability and willingness to accept additional responsibility, or leadership; cooperation in dealing with personnel at all levels; efforts at self-improvement; innovations in program implementation; development of special projects, resource tools, and/or the use of creative techniques in the performance of duties; initiative and resourcefulness in solving unit problems; ability to communicate effectively orally and in writing. Evidence used to evaluate professional performance generally includes supervisors' evaluation, clientele evaluation, peer-evaluation, and self-evaluation.

## 2. Policies for Promotion and Tenure

The probationary period for tenure-track faculty may not extend beyond seven years, unless the faculty member receives approval for suspending the probationary period. During the first six years of the probationary period, a tenure-track faculty member may request his or her probationary period be suspended in accordance with the current version of the Family and Medical Leave Act. 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 ([Board Policy 405.1, IV.A.4](#)). Typically, but not exclusively, an earlier than usual tenure review occurs when the faculty member has been in a tenure-track position before being hired by UA Little Rock; to avoid future confusion, the terms for an early tenure-review should be written into the faculty member's letter of appointment.

or similar

The process of tenure review, as delineated in departmental promotion and tenure documents, must be completed before the end of the probationary period, consistent with [Board Policy 405.1. Faculty dismissed prior to completion of the probationary period are still entitled to the rebuttal and appeal process delineated below.](#)

verifying against 405.1

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

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

The rules and standards regarding promotion and tenure decisions shall not discourage faculty members from developing and expressing divergent views. Mere expressions of opinions, however strongly expressed, however controversial such opinions may be, shall not constitute cause for denial of promotion and tenure. This academic freedom right applies to all components of the academic enterprise: teaching, research, and service. Disagreement is essential for intellectual, academic, and social growth; however, scholarship to this exchange of ideas must involve respectful expression of views and the consideration of multiple points of view. Assertions regarding collegiality, disruptive conduct, or willingness to work productively shall not constitute cause for denial of promotion and tenure. History has repeatedly demonstrated, and organizations such as the AAUP have made clear, that these notions are too vague and are too

~~cannot be easily used to infringe upon academic freedom or to discriminate during promotion and tenure processes.~~

Decisions on promotion and tenure shall not be based on lifestyle, political affiliations, or religious convictions.

At any point, the candidate may withdraw from the review process by sending a letter to the person responsible for the next level of review. For example, if the candidate wishes to withdraw after the chair's recommendation, he or she sends a letter to the dean. Throughout the entire process, confidentiality of information must be maintained.

~~The reorganization of academic departments or units within the campus, or any subset thereof, shall not in any way alter tenure rights, unless the reorganization is part of a retrenchment, initiated pursuant to, and complying in full with, Board Policy 405.5.~~

~~The right to continuous appointment provided by tenure affords faculty members the substantive right not to be dismissed or terminated but for the reasons delineated in Board Policy 405.1. In addition to those enforceable substantive rights, tenure affords faculty the right to administrative due process at every level of the University. These substantive and procedural rights are separate and co-exist.~~

### 3. Procedures for Awarding Promotion and Tenure

The procedure for recommending promotion and tenure begins at the department level (see [Board Policy 405.1, III and IV.A](#)). (Note: 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, including providing tenure-track faculty by providing an opportunity to review recent successful tenure applications.) This evaluation of promotion and tenure applications is based on written departmental guidelines that are consistent with these rules and established by the department and approved through administrative channels. The departmental recommendation is particularly important because it evaluated the candidate's dossier against the standards of the discipline.

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

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

#### 3. A. Process before Tenure

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

In preparation for promotion and tenure, the chair may assign the tenure-track faculty member with a mentor. The mentor will provide guidance on developing a research agenda and building a dossier. All faculty of the department are similarly encouraged to support tenure-track faculty by providing an opportunity to review recent successful tenure applications.

A mid-tenure review by the departmental Promotion and Tenure Committee (PTC), the department chair, and the employee is mandatory. The review, typically completed by May 15 at the end of the third year in rank, will follow procedures delineated in the departmental and college policies. After the review has been completed, the PTC will send a report to the chair. The chair will meet with the faculty member to answer questions about the review and then forward the report with a cover letter to the dean. ~~If the employee wishes to challenge any finding of the mid-tenure review, such challenge shall be governed by the rebuttal and appeal process set forth below in sections 3.h. and 3.i.~~

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### 3. B. Recommendation of the Departmental Promotion and Tenure Review Committee (PTC)

All departments shall have a promotion and tenure review committee (PTC). Only tenured faculty members and administrators who hold tenure shall serve on the PTC. Only faculty who hold a rank equal to or above the rank sought by the applicant shall participate in the promotion review process. No administrator, such as the department chair, college dean, associate dean or assistant dean, may serve on the PTC to review any ease-candidate for which he or she the administrator has participated as a reviewer within that academic year or on whose application the administrator will vote later in the process. As noted in section 1, the grants of authority set forth in this policy exclusively delineate the items that may be considered during the promotion and tenure process and no administrator may add to or subtract from those requirements in making any determination.

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

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

### 3. C. Recommendation of the Chair

After reviewing the candidate's dossier and the PTC's recommendation, the department chair will make an independent recommendation. As discussed, the chair shall not be involved in the

~~PTC process.~~ The chair will meet with the candidate to review ~~the~~ recommendation of the PTC and the recommendation of the chair. At this time, the chair provides a copy of each recommendation to the candidate. After the meeting, the chair will forward the PTC's recommendation and any minority report, the chair's recommendation, and the candidate's dossier to the dean.

After receiving the chair's decision, the candidate has five business days to initiate his absolute right to file a rebuttal (sec III. H.). The candidate shall suffer no negative consequences for submitting a rebuttal.

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

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

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

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

If the candidate initiates a rebuttal after the chair's decision, the dean will forward the rebuttal to the CRC before it begins deliberations. After reviewing the candidate's dossier, all recommendations (those of the PTC, department chair, and CRC), and the candidate's rebuttal (if any), the dean will make an independent recommendation to the provost.

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

If the recommendation is positive, the dean informs the candidate. If the candidate does not initiate a rebuttal, the dean forwards his or her recommendation (allowing summary materials) to the provost: the candidate's completed application forms, statement, curriculum vita, letters of evaluation (annual reviews, peer reviews, and letters from external evaluators, when appropriate), and the recommendations of all prior review levels. The remainder of the applicant's dossier shall be retained in the dean's office until the review process is complete. If

needed for their decisions, the provost and chancellor may request the complete dossier be forwarded.

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

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

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

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

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

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

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

If the candidate initiates an appeal at this point, the provost forwards appeal, the summary materials, and the rebuttal (if any) to the chair of the FAC. The dean will provide the FAC with access to the candidate's dossier. When the FAC has completed its deliberations, the chair of the FAC forwards the committee's findings and summary materials to the chancellor. The chair of the PAC also provides a copy of the committee's findings to the provost.

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

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

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

### **3. H. Rebuttal**

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

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

The rebuttal is not an appeal; it does not prompt a reconsideration of decisions by previous reviewers. It is, rather, an opportunity to provide a supplement to the record that is considered at subsequent levels of review. # The rebuttal may occur at each level where a recommendation is made.

**Rebuttal after Chair's Decision.** To initiate the option of rebuttal at this point, the candidate must notify the dean within five business days of receiving the chair's decision and provide a copy of the notification to the chair. Within ten business days of receiving the chair's decision, the candidate must submit the rebuttal to the dean. The dean forwards the rebuttal to the CRC before that committee begins deliberations. The rebuttal is also forwarded with the summary materials to each subsequent level of campus review.

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

### **3. I. Appeal to Faculty Appeals Council (FAC)**

The candidate has the option of submitting an one and only one appeal to the Faculty Appeals Council. ~~The appeal may be initiated~~ after a negative decision by ~~either~~ the dean or and/or the provost. ~~If the dean's decision is negative and the candidate does not initiate an appeal, he or she reserves the right to appeal after the provost's decision, providing that decision is also negative.~~

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

**Appeal after the Dean's Decision.** To initiate the option of appeal at this point, the candidate must notify the provost within five business days after receiving the dean's negative decision. The candidate also provides a copy of the notification to the dean. Within ten business days of receiving the dean's decision, the candidate must submit the appeal to the provost. The provost forwards the appeal to the chair of the Faculty Appeals Council upon completion of the FAC's deliberations; the chair of the FAC forwards the committee's findings to the provost.

**Appeal after the Provost's Decision.** To initiate the option of appeal at this point, the candidate must notify the chancellor within five business days after receiving the provost's negative

decision. The candidate will also provide a copy of the notification to the provost. Within ten business days of receiving the provost's decision, the candidate must submit the appeal to the chancellor. The chancellor forwards the appeal to the chair of the FAC. Upon completion of the FAC's deliberations, the chair of the FAC forwards the committee's findings to the chancellor.

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Revised:

Approved By: Chancellor Joel E. Anderson, December 4, 2009

Custodian: Faculty Senate

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## Insertion 1

A minimum of two external reviews of scholarship must be provided for both promotion and tenure, following procedures outlined in the department's approved promotion and tenure policies. These policies must include provisions for the selection of evaluators within the candidate's field at peer institutions who hold academic rank at or above the rank to which the candidate aspires. The evaluators may not have a close personal relationship with the candidate.<insert footnote 1>

<footnote 1>: examples of unacceptable reviewers may include, but are not limited to, the candidate's dissertation/thesis advisor, former graduate students, co-authors, or co-investigators.

Absent approved policies, the policy outlined in the "Generic Departmental Governance Document (FS legislation, 8/26/2011)" will be used.

Amend the Generic Departmental Governance Document ([FS legislation, 8/26/2011](#)) to include the following procedures for External Review of Scholarship:

### 33. External Review of Scholarship for Promotion and Tenure

The function of outside evaluators is to provide independent assessments of the individual's work and professional standing. The candidate can submit up to five names of possible reviewers and up to five names of individuals not to serve as reviewers to the department chair. The department chair will solicit sufficient letters as to provide a minimum of two external reviews. Evaluators may not have a close personal relationship with the candidate, as outlined in the Promotion and Tenure Policy (403.15) and must be selected from a peer institution.

A peer institution should have the same research classification as the University of Arkansas at Little Rock. The academic unit from which the evaluator is selected should grant the same level of degrees as the candidate's academic unit. If there are not sufficient institutions that meet these criteria, a peers may be solicited from institutions with a higher research classification.

The department chair will provide a selection of the candidate's work to the external evaluators. The department chair must provide all external reviews to the Promotion and Tenure committee.

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## Insertion 2

6. A mid-tenure review by the departmental Promotion and Tenure Committee (PTC), the department chair, and the employee is mandatory. The review, typically completed by May 15 at the end of the third year in rank, will follow procedures delineated in the departmental and college policies. An external review of the employee's scholarship may be required only if procedures for external review have been established in the department's approved promotion and tenure policy. After the review has been completed, the PTC will send a report to the chair. The chair will meet with the faculty member to answer questions about the review and then forward the report with a cover letter to the dean.