

RPT GUIDELINES

UNIVERSITY OF UTAH

DEPARTMENT OF MATHEMATICS

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UNIVERSITY OF UTAH

HANDBOOK

of

Lists, Policy and Procedures

2000-01

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## **K. POLICY AND PROCEDURES ON RETENTION, PROMOTIONS AND TENURE**

1. **Goals of the Policy.** The primary duties of the Department are to teach mathematics and to contribute to the progress of mathematics as a discipline. Accordingly, the goals of the departmental policy are to build a faculty of outstanding teachers with high levels of achievement in scholarship and/or research in mathematics and related fields.

Each addition to the tenured faculty has a lasting effect on the Department's ability to achieve these goals. Therefore, it is the Department's duty to ensure that each tenured appointment be as effective as possible in advancing them.

2. **Criteria to be Used in Deciding Questions of Rentention, Promotion, and Tenure.** The criteria to be used in assessing the contributions of faculty members to the achievement of departmental goals are the following:
  - (a) **Achievements as a Teacher.** The following areas may be distinguished:
    - (i) Teaching of undergraduate level mathematics
    - (ii) Teaching of graduate level mathematics, including seminars
    - (iii) Teaching in related fields
    - (iv) Development of textual materials and/or courses.
  - (b) **Professional Achievement Other than Teaching.** The following areas may be distinguished:
    - (i) Creative research in mathematics
    - (ii) Scholarly research in mathematics (expository writing, history of mathematics)
    - (iii) Research in related fields
    - (iv) Direction of graduate study (M.A. and Ph.D. research).
  - (c) **Professional Contributions to the Administration and Governance of the Department and University.** The following areas may be distinguished:

- (i) Chairmanship
- (ii) Departmental committees [e.g. Associate Chair, Director of Graduate Studies, Undergraduate Advisor, or service on any of a number of departmental committees.]
- (iii) College of Science Council
- (iv) University Senate
- (v) Interdepartmental and University Committees.

The Department views these three types of criteria in the following way: Teaching is fundamental and excellence at teaching is an essential requirement for tenure, promotion and retention. On the other hand, excellent teaching alone should not justify a recommendation for tenure, promotion or retention, since experience has shown, it is possible to find excellent teachers who are also distinguished researchers or scholars. Thus, the minimum requirements for tenure, promotion or retention are substantial achievements in both teaching and research or scholarly work. Achievements as an administrator may replace achievements in research if administrative duties are a substantial part of a faculty member's work load, as is the case for the chairman.

3. **Rationale for the Criteria.** High levels of faculty achievement in the areas outlined above are essential to achieve the departmental goals.

4. **Methods of Determining Performance with Respect to the Criteria.**

- (a) At the end of each academic year, the Executive Committee will appoint an ad hoc committee consisting of three Department members for each individual under review for the next academic year. The Department Chairman will request that each individual under review submit a current vita and bibliography, a current set of reprints and preprints, a description of current and proposed research and any other material the individual considers important. This material may be reviewed by all members of the appropriate RPT committee.
- (b) The effectiveness of a faculty member as a teacher will be assessed by his or her committee, and also the Student Advisory Committees (in tenure cases). Data that may be used include teacher evaluation forms, interviews with current and former students, reports of seminars given, failure and drop rates and studies that indicate the progress actually achieved by students during a given course. This material may be reviewed by all members of the appropriate RPT committee.

- (c) In order to assess the quality of a faculty member's research, his or her committee will review his or her publications and work in progress. The ad hoc committee will seek opinions of experts at other institutions. They will look for evidence of outstanding professional achievement and will compare the faculty member's record in this regard with the records of other mathematicians at a comparable stage of development. This material may be reviewed by the appropriate RPT committee.
- (d) The quality and magnitude of a faculty member's administrative contributions will be assessed by the ad hoc committee in consultation with the Department Chairman and other Department members involved in such work.
- (e) The faculty member's ad hoc committee and the Student Advisory Committee (in the case of tenure questions) will report its findings to the RPT committee. These findings may take the form of:
  - (i) A recommendation for retention, promotion and/or tenure;
  - (ii) A recommendation against retention, promotion and/or tenure;
  - (iii) A recommendation not to proceed with the promotion and/or tenure; or
  - (iv) No recommendation.

The RPT committee will then make a recommendation to be forwarded to the Department Chairman.

- (f) In the cases of prospective new hires with tenure, the RPT Committee will make a recommendation using these same criteria and with the advice of the SAC's; but there will be no ad hoc committee.

5. **Specific Policy on Tenure.** All nontenured positions are considered to be probationary and subject to periodic review until a decision is made for nonretention or for tenure.

The Department should not review each of its positions as a potential tenured position. Mathematics is a rapidly changing discipline. A department without faculty turnover risks losing touch with modern developments. For the continuing vitality of the Department, it is

necessary to reserve a certain percentage of the departmental positions for nontenured, temporary faculty and visitors. The departmental Executive Committee has recommended that this percentage not fall below 30%.

The decision whether to recommend tenure for a candidate will be based on the following factors:

- (a) The availability of a tenured position. The Department will consider only a limited percentage of its positions to be potential tenured positions.
  - (b) Achievement of the candidate in the various areas outlined in 2.
  - (c) The extent to which the candidate's areas of strength correspond to the needs of the Department.
  - (d) The availability of new personnel with significantly better qualifications. That is, the candidate will be considered in competition with potential faculty prospects at other institutions as well as other nontenured faculty members in the Department.
  - (e) The length of service in a professional rank. A faculty member will not ordinarily be considered a candidate for tenure until his or her fifth year of academic service in one or more of the three professional ranks; in cases of exceptional achievement, this requirement may be shortened somewhat. Service at another institution may be counted toward this requirement.
6. **Specific Policy on Retention.** There are three situations in which the department will recommend nonretention for a nontenured faculty member:
- (a) The completion of a temporary instructorship. Instructors will normally be appointed by the Department for specific periods (up to three years) and these appointments will not be renewed. There will be no terminal year in addition to the period specified in the appointment.
  - (b) Unsatisfactory performance of duties. The Department will recommend the termination of a nontenured appointment at any time it determines that the faculty member is not satisfactorily performing his or her teaching or administrative duties.

- (c) A nontenured faculty member in a professorial rank will be given notice of nonretention and a one-year terminal appointment if, after a suitable trial period, the Department determines that (s)he is unlikely to achieve tenure. This period will range from three to seven years for individuals appointed as assistant professors and from three to five years for individuals appointed as associate professors. Ordinarily, the Department expects to recommend tenure at the time of an appointment to the rank of associate professor.

The record of an assistant professor will be formally reviewed and judged according to the criteria of 2, in the third, fifth and seventh years of service. For nontenured appointees to the rank of associate professor, such reviews will occur in the third and fifth years of service. Each such review will have one of the following outcomes:

- (i) A decision to recommend tenure.
- (ii) A decision to recommend retention of the individual on the grounds that (s)he has a reasonable likelihood of achieving tenure.
- (iii) A decision to recommend nonretention of the individual on the grounds that (s)he is not likely to achieve tenure.
- (iv) A decision to recommend retention of the individual on the grounds that the evidence is inconclusive and to hold another formal review the following year.
- (v) A decision on the final probationary year to recommend nontenure and hence, nonretention.

7. **Specific Policy on Promotion.** The Department's policies on promotion to each of the ranks of assistant professor, associate professor and professor are as follows:

- (a) **Assistant Professor.** Normally an instructor will hold a temporary appointment for a specific period of not more than three years and will not be considered for promotion to the rank of assistant professor. Appointees to the rank of assistant professor will normally be individuals who have demonstrated their competence in service in the rank of instructor or assistant professor at another institution. However, if the Department determines that the achievements of one of its instructors are clearly and significantly superior to those of any outside candidate, it may make exception to this policy and recommend promotion of the individual to assistant professor.

- (b) **Associate Professor.** It is the department's policy that, in the case of an assistant professor, a recommendation of a tenure award and a recommendation of promotion to associate professor will occur simultaneously. Thus, the policy and procedures governing promotion to the rank of associate professor will agree with those governing tenure awards as outlined in 5.
- (c) **Professor.** An associate professor will be an individual who was either appointed or promoted to that rank because of high levels of achievement in categories listed in 2. Such an individual will be promoted to the rank of professor when (s)he has demonstrated his ability to sustain and expand these high levels of achievement. The Department will not ordinarily recommend promotion of an individual to the rank of professor before his or her fifth year in the rank of associate professor.

**Please refer to the University of Utah Policy and Procedures for precise statements of University policy regarding Promotion, Retention and Tenure.**

#### **L. REVIEW OF TENURED FACULTY**

Procedures for setting up a review of tenured faculty were discussed in a meeting of the Mathematics Department held March 6, 1980. The following was adopted by a majority vote of those present:

The Chairman in consultation with the Departmental Executive Committee will appoint a review committee and prepare a schedule for the review of faculty in the rank of professor (faculty in lower ranks are already subject to regular promotion reviews). This schedule will involve the review of roughly one fifth of the professors each year. (See the following page for schedule) The reviews will take place in the Spring Semester of each year.

The review procedure will involve the following specific points:

- (1) The review committee will collect updated information on each tenured faculty member to be reviewed in a given year, including updated vita and student evaluation summaries.
- (2) Based on its review of this material, the committee will alert the Chairman to any problem areas that had been turned up in connection with a faculty member.
- (3) The Chairman will discuss such matters with the individual whose work had been reviewed when needed.



- (4) The Chairman will transmit to the Dean a statement listing tenured faculty people who had been reviewed by the Department's mechanism.
- (5) It would be a continuing responsibility of each tenured faculty member to keep his or her file, maintained by the Department up-to-date for use of the review committee.

**M. SCHEDULE OF TENURED FACULTY REVIEWS**

We must review each tenured faculty member every five years by order of the University Senate. Those of you to be reviewed this year should bring your vita and bibliography up to date.

At a Department faculty meeting held Tuesday, April 12, 1988, the following motion passed unanimously:

"That the Department Chair and any members of the Department who are serving in the University administration (outside the Department) not be subject to Tenured Faculty Review while so serving."

The question of exactly how soon after his or her administrative service such a person should be reviewed was raised but not settled.

| <u>2002</u> | <u>2003</u> | <u>2004</u> | <u>2005</u> | <u>2006</u>  |
|-------------|-------------|-------------|-------------|--------------|
| Alfeld      | Bestvina    | Adler       | Balk        | Bromberg     |
| Brooks      | Folgelson   | Cherkaev    | Bertram     | Dobson       |
| Carlson     | Folias      | Clemens     | Bressloff   | Glaser       |
| Gross       | Milicic     | Ethier      | Lewis       | Golden       |
| Horvath     | Savin       | Gustafson   | Niziol      | Kapovich     |
| Keener      | Schmitt     | Hecht       | Roberts     | Khoshnevisan |
| Korevaar    |             | Milton      | Rossi       | Mason        |
| Taylor      |             | Toledo      |             | Mikhalkin    |
|             |             | Smale       |             | Treibergs    |
|             |             | Zhu         |             | Trombi       |
|             |             |             |             | Tucker       |