

University Policy 6-310
Legislative history of Revision 0--- the original version
(formerly known as PPM 9-5.7 prior to the September 2008 renumbering of all
Policies)

Revision 0 was approved by the Academic Senate May 7, 2007, and approved by the Board of Trustees May 14, 2007.

Contents:

Excerpts from the agenda of the Academic Senate of May 2007:

1. Memorandum of proposal.
2. Contents of new Policy 6-310 (Revision 0).

See also the related and approximately contemporaneous proposal for amendment of Policy 6-302, Revision 5, also approved in spring 2007, which amended that Policy to clarify its direct applicability in regulating appointments of auxiliary faculty. See further the subsequent 2008 Revision 6 of Policy 6-302, which further clarified the applicability for auxiliary faculty---to include all forms of appointments including initial appointments, reappointments, and reappointments with promotion. The legislative history is linked with Policy 6-302, at <http://www.regulations.utah.edu/academics/6-302.html> .

TO: Senior Vice President for Academic Affairs David W. Pershing
Senior Vice President for Health Sciences A. Lorris Betz

FROM: Susan M. Olson, Associate Vice President for Faculty
Richard J. Sperry, Associate Vice President for Health Science

DATE: March 15, 2007; as amended April 27, 2007

SUBJECT: new policies on evaluation of auxiliary faculty and other instructional personnel

In the final report of its accreditation review last fall by the Northwest Commission on Colleges and Universities, the university received a recommendation to more systematically review auxiliary faculty*:

Recommendation

The committee recommends that the University of Utah provide regular and systematic evaluation of the performance of *auxiliary* faculty, and that the institution's policies, regulations and procedures provide for such evaluation on a continuing basis consistent with Policy 4.1 *Faculty Evaluation*. The university is also advised to define an orderly process for the recruitment and appointment of *auxiliary* faculty. (Standard 4.A.5, 4.A.6 and 4.A.9)

This might be accomplished in several ways, but given the broad mission and decentralized structure of the university, one practical approach would be to institute a university requirement that each unit that employs adjuncts have a formal, written policy that complies with Standard Four. In this example, compliance with this requirement would be monitored, e.g., by requiring each unit that employs auxiliary faculty to submit its policy to the central administration for review and approval. Administration of this requirement would be easier if most schools and colleges had overarching policies, rather than each department having a separate policy, although that might not be possible if the departments have widely varying types of auxiliaries.

In response to this recommendation, we are proposing adding the attached policy, PPM 9-5.7, to the university's official Policies and Procedures. Although the recommendation explicitly addresses only auxiliary faculty, we recognize that the concerns of the accreditors apply to others who teach our students as well. Thus, we are also proposing to cover teaching personnel governed by PPM 9-5.6, such as associate instructors, graduate student instructors of record, and postdocs when they engage in classroom teaching. We anticipate substantial revisions of PPM 9-5.6 next year, including reference to these new review policies proposed as PPM 9-5.7.

To recognize the many contributions of our long-time auxiliary faculty, the new policies must also establish promotion guidelines and should address governance rights as well, appropriate to the category of auxiliary faculty.

These guidelines were distributed to deans in December 2006 in the form of a memo, and many colleges are already in the process of developing the new review standards and procedures called for. The new college policies, consistent with these university policies, are due to the cognizant senior vice president by January 15, 2008.

*Auxiliary faculty are defined in University policy (PPM 9-2, Sec. 4) as “individuals who participate in the university’s academic program and make a substantial contribution to the academic activities of the various colleges, but whose continuing professional activities do not span the full range of responsibilities of regular faculty members in the appointing department or college. In light of the University’s need to retain the flexibility to adjust its programs to meet changing needs and to employ faculty with more specialized foci to that end, auxiliary faculty may be appointed as research, clinical, lecturer (or lecturing), adjunct or visiting faculty members, as further defined in the sections below. Auxiliary faculty may hold the ranks of professor, associate professor, assistant professor, or instructor.”

The five categories of auxiliary faculty are Research, Clinical, Lecturer or Lecturing, Adjunct, and Visiting. Definitions of these categories and other policies relevant to them appear in PPM 9-2, Sec. 4.

Subject: Appointment, Reappointment and Evaluation of Auxiliary Faculty and Other Instructional Personnel

I. PURPOSE

To maintain the high quality of all University faculty and other classroom teachers by establishing minimum guidelines for a systematic process to ensure that quality. Because auxiliary faculty engage in a wide range of activities, considerable flexibility is needed for colleges and departments to determine details appropriate to their own units.

II. EFFECTIVE DATE

The college (and department) policies required by this university policy are due at the office of the cognizant senior vice president no later than January 15, 2008. The remaining portions of this university policy will be effective upon its approval and adoption.

III. REFERENCES

[PPM 9-2](#), University Faculty

[PPM 9-4](#), College Faculties and Councils

[PPM 9-5](#), Appointments

[PPM 9-5.6](#), Academic Staff, Educational Trainees, Postdoctoral Fellows, and Medical Housestaff

[Procedure No. 9-5.7](#), Appointment, Reappointment and Evaluation of Auxiliary Faculty and Other Instructional Personnel

[Northwest Commission on Colleges and Universities](#), Accreditation Standard 4.A., Policy 4.1 on Faculty Evaluation

IV. POLICY

- A. Appointments. When initially appointing auxiliary faculty and academic staff (associate instructors and research associates), departments must verify that they possess appropriate credentials by way of degrees and field of study for the position consistent with university policy. Departments must maintain on file a curriculum vita for each individual hired into one of these positions. The terms of such appointments and the process for making such appointments shall be consistent with university policies.
- B. Evaluation and Reappointment of Auxiliary Faculty.

1. Colleges (and departments only when necessary because of widely varying circumstances) must establish policies that provide a statement of criteria and standards for the reappointment of each category of auxiliary faculty used in the college and that also provide evaluation plans, which must address reappointments of both compensated and uncompensated (volunteer) faculty, and must provide for more thorough review of the former.
 2. The process for making such reappointments shall be consistent with university policies, especially PPM 9-5.
 3. Each department must designate a committee or individual(s) responsible for making a recommendation on the reappointment or non-reappointment of each auxiliary faculty member before the department faculty votes on each such faculty member.
 4. Policies may distinguish between procedures followed for annual reappointments and those followed for more thorough reviews of long-term auxiliary faculty, which must occur at least every five years. Multiple indicators of teaching quality must be used in these more thorough reviews. See [Procedure No. 9-5.7](#).
 5. Policies must provide for action, such as developing and implementing a plan for improvement or non-reappointment, if evaluation indicates areas of concern.
 6. If departments provide appointment homes for individuals whose work primarily takes place in a different unit, colleges must coordinate with those units in developing criteria, standards, and procedures for evaluations. See [Procedure No. 9-5.7](#).
 7. Where Adjunct faculty hold regular faculty appointments in another department at the University, a department may simply rely on the regular review procedure in the faculty member's home department or may do its own review.
- C. Evaluation and Reappointment of Other Instructional Personnel. Procedures similar to those in sections B.4 and B.5 must be developed and followed for evaluating teaching by associate instructors, graduate student instructors of record, and postdoctoral fellows. Classroom observation of new instructors is encouraged. Evaluation plans must provide for closer scrutiny of new instructors and those teaching in new areas. Departments must designate a committee or individual(s) responsible for evaluating all such instructional personnel and making a recommendation on each person to the department chair or designee responsible for staffing courses prior to reappointments.
- D. Documentation. Reviews must be documented, and documentation of each review must be retained in the department and available on request by the cognizant senior vice president.
- E. Promotions. In conjunction with these requirements, colleges or departments must establish criteria, standards, and procedures for promotions in rank for long-term auxiliary faculty.

- F. Governance. Colleges are also encouraged to establish policies addressing participation in departmental and/or college governance and resources for professional development available to such faculty and other instructional personnel. See [Procedure No. 9-5.7](#).
- G. Approval Requirement for Policies. Policies for evaluation for reappointment and promotion of auxiliary faculty and other instructional personnel must be submitted to the cognizant senior vice president for approval.

Approved: Academic Senate, _____, 2007

Approved: Board of Trustees, _____, 2007

Procedure: 9-5.7 Rev: 0

Date: _____, 2007

Procedures: **Appointment, Reappointment and Evaluation of Auxiliary Faculty and Other Instructional Personnel**

Minimum Evaluation Procedures: For example, for faculty with classroom teaching responsibilities, student course evaluations should be reviewed annually.

Policy Development and Amendment: Including auxiliary faculty members in the development and amendment of evaluation and reappointment policies is encouraged.

Sample Policies Available: The Associate Vice President for Faculty for Academic Affairs will make available examples of policies adopted by other departments and colleges.