Policy 6-303: Reviews of Tenure-Line Faculty Members (RPT Criteria, Standards and Procedures). Revision 23. Effective Date July 1, 2017

I. Purpose and Scope

To establish criteria, standards, and procedures for reviews of terrure-line fa ltv members for purposes of retention, promotion, and tenure decisions (RPT). implement policies of the Utah State Board of Regents regarding such ews. sional F including [Regents Policy R4811, Academic Freedow, Pro sponsibility. Tenure, Termination, and Post-Tenure Review. Losstablish rtmental retention, promotion, and tenure advisory committees and describe their functions. To describe certain functions of the Senate Faculty R Standards Committee, the University the secte Consolidated Hearing Promotion and Tenure Advisory Committee Committee, and the Senate Committee on A ademic Freedom and Faculty Rights, and functions of University of sers (department chairpersons, deans, cognizant vice ent, as elated b retention, promotion, and tenure presidents, and the Presi reviews.

prformant, review processes for all faculty members This Policy governs appointed to by tenure faculty position in any academic unit of the University for periodic post-tenure reviews of tenured faculty, which are (except maces rned by Nalicy 6-321). The rights associated with the status of retention in a dov ten e-track polition, or holding a tenured position, are described in other University including Policy 6-311. Review processes for faculty members Regula appointed to career-line, adjunct or visiting faculty category positions (as described in Policy 6-300), or for persons in non-faculty academic employee positions (as described in Policy 6-309), are separately governed by [Policy 6-310]. Review processes for persons holding any special "named position" such as an endowed chair are separately governed by [Policy 9-003: Endowed Chairs].

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(EndNote 1: Adaptation for variations in organizational structure.)

(EndNote 2: Adaptation for The University of Utah Libraries.)

II. Definitions

- A. The faculty categories of "*tenure-line*," "*tenure-track*," and "*tenured*," are defined for purposes of this Policy as described in <u>Policy 6-300</u>: The University Faculty--Categories and Ranks.
- B. The faculty appointment status of "*tenure*" is defined for purposes of third olicy as described in <u>Policy 6-311</u>: Faculty Retention and conurse
- C. The academic units of "academic department" incademic pluge," and "interdisciplinary academic program," are defined to purposes of this Policy as described in <u>Policy 6-001</u>: Academic (Puls and Academic Governance.

III. Policy: Reviews of Tenure-line Eaculty Municers (RPT)

Overview: This Policy governe the criteria standards, evidence and procedures for certain types of reviews or tenure ine farmity members both pre-tenure and post-tenure. Parts III-A toon-J govern reviews conducted during the pre-tenure probationary perior leading up to the granting of tenure, and also any reviews for purposes of promotion on rank conducted after granting of tenure. Part III-K governs reviews for granting of tenure at the time of initial appointment. Regular periodic postoenure view conducted faculty members (other than reviews for the purpose of cranting a pomotion in rank) are governed by separate Policy 6-321.

A. Retain, promotion, and tenure (RPT) reviews

1. Purpose

 a. Retention. A probationary period is normally required for all individuals appointed to tenure-track faculty positions prior to the granting of tenure. Annual reviews shall be scheduled during this probationary period to evaluate the academic performance of non-tenured individuals, to provide constructive feedback on their academic progress, to retain those who meet the applicable standards for retention, and to terminate the appointment of those who do not meet the standards of the department and the expectations of the University during the probationary period after their initial appointments. (See University <u>Policy 6-311</u>, and Board of <u>Regents Policy R481</u> regarding termination of appointment, no e of termination, and the terminal appointment period.)

- b. Promotion. Promotion in rank is the acknowledgment by the University of continuing and increasing professional competence and responsibility in teaching, research and creative work, and University appropublic service.
- c. Tenure. Granting tenure implies a commitmer by the University to defend faculty members' academic free tool Likewise, faculty members who are granted tenure make an equally group commitment to serve their students, their colleagues, their distipline, and the University in a manner befitting a responsing academic person. (See <u>Policy 6-311</u>.) Granting tenure is regarded as the University's most critical personnel decision. Except for extra dinary instances, when specific and persuasive justification is provided, tenure will not be granted to faculty members prior to their advancement to the rank of associate professor. It is therefore implicities, before such commitments are made, that a responsible scientified cancidates available are granted tenure.

2. Onena, Standards, Evidence and Procedures (RPT)

- a. Development and approval of statements of RPT criteria, standards, evidence, and procedures ("RPT Statements").
 - i. Each department (or college) shall formulate and when appropriate revise a Statement of criteria, standards, evidence and procedures to

be used in retention, promotion, and tenure ("RPT") reviews. These RPT Statements shall address the qualifications of candidates with respect to the primary criteria areas of (1) teaching, (2) research and other creative activity, and (3) University, professional, and public service. These Statements shall be consistent with applicable provisions of University Regulations, especially including Policies 6-303, 6-311 (Retention and Tenure), and 6-316 (Code Ity Rights and Responsibilities), as well as professional code appropriate, and with the purpose of the University of Utah as a ated in hapter Section 1, of the State Higher Education Statem Progulations. The Statements shall include the rationale of the eria and standards , and a description of evidence to be used in asse g performance relative to selected standards for each charion. The Statements shall include a description of departmental procedures which are required by University Regulations (or insead around specific references to the pertinent provision for more Regulations), and a description of departmentally elected procedures on which University Regulations Amental variation, such as the selection of either a six-year permit dep normal probationary period, and number and scheduling or seve -ve of m probation v formal retention reviews (Part III-A-3), timing of eligibility or post-tenure review for further promotion in rank (Part III-Bd), the precedures for informal reviews (Part III-B-1-a) any rules for on-voting faculty participants in meetings of the departmental allò PT advisory committee (Parts III-E-1 and III-K-1), any requirement of ternal evaluations for reviews other than tenure or promotion reviews (Part III-B-2), procedures for selecting a set of external evaluators (Part III-D-9), and any procedures for assigning to individuals or special committees specified responsibilities within RPT proceedings (e.g., mentoring, peer reviews of teaching, file preparation, file review, or preparation of reports). Each revision of a Statement shall specify the date on which its requirements become effective for all newly

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appointed candidates, and describe any delay period ('grandfathering') or consent procedure for making changed requirements applicable for reviews of existing faculty members.

ii. Each Statement and any revision of a Statement must be approved by majority vote of the tenure-line faculty of the department, the dean, and jointly finally approved by the cognizant senior vice president and the Senate Faculty Review Standards Committee. Two more departments within a multi-department college may tly adop single RPT Statement, and in such cases the required a re al of the faculty shall be by majority vote within the nur/ line faculty of each joining department. If all department within the solle le so join, the Statement shall be treated as a "college vide RPT Statement," operative within all of the departments. In it wole in approving RPT Statements, the Senate Fact ty R. Standards Committee acts as delegee of the authority of Academic Senate, pursuant to Policy 6-002cord with that Policy the Committee, in consultation III-D-1-k, and in with the cognizant rice president, may establish a regular schedule for sign of RPT Statements, initiate reviews of reexamir and re-Statements on is own initiative or in response to requests from faculty or administrators, prepare guidance materials for use in membe eveloping and approving Statements, and otherwise assist de rtme is with development of Statements, including by identifying d sharing best practices developed by other departments.

In RPT Statement fully approved becomes the governing Statement for that department until replaced by a fully-approved revised version. The department chairperson shall make contents of the current governing Statement available to all tenure-line faculty members. Pertinent contents of the governing Statement shall be provided to all committees and individuals participating in RPT proceedings and all committees or individuals making any recommendation or decision in

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an RPT proceeding shall do so consistent with the governing University Regulations and the substantive criteria, standards and evidence set forth in the governing RPT Statement.

- b. Criteria and evidence.
 - The primary *criteria* of teaching, research/creative activity, and service shall be assessed for retention, promotion, and tenurum tenes of standards incorporating both the quantity and quality of work at lieved.
 Departmental RPT Statements shall identify types of *exclence* to be used as means of assessing quantity and quality uppropriate to the discipline or profession.
 - ii. Any departmental expectation of accomplishment of or potential for obtaining external funding support (and the actionale for imposing such expectation) shall be described wire porticularity in the departmental statement.
 - iii. In carrying out their duties indeaching, research/other creative activity and service faculty numbers are expected to demonstrate the ability and windpress to perform as responsible members of the faculty, as defined in the Coup of Faculty Rights and Responsibilities (<u>Policy 6-316</u>). Assuments of teaching, research/other creative activity and survice mal consider the candidate's conduct as a responsible member of the faculty.
- c. Standards. Insistence upon the highest attainable standards for faculty members is essential for the maintenance of the quality of the University as an institution dedicated to the discovery as well as the assimilation and transmission of knowledge. Departmental RPT Statements and the decisions based upon them shall emphasize the University's commitment to the achievement and maintenance of academic excellence.

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i. Teaching and research/other creative activity. For granting of tenure, it is indispensable that there be a cumulative record demonstrating sustained effectiveness in each of the two areas of teaching and research/other creative activity, and additionally, excellence in a combination of those areas. This set of requirements may be met through articulation and application of departmental standards that require either (i) effectiveness in one area and excelle he other, or (ii) effectiveness in each area and combined activements the e. De two areas that taken overall constitute exceller rtment shall select, clearly articulate, and apply the selected standards a manner that is appropriate to the characteristic and indards of the discipline and the intended roles of faculty m in ers within department. A department may select standards higher an these minimum requirements if clearly describe in the departmental RPT Statement. For retention during the probation iv pointing the record for the two areas must demonstrate paso able potential for meeting the standards estateshed for terure For promotion in rank, the record for the two are s must remonstrate continuing professional growth at a te to the articular rank. Departmental RPT Statements level a **NO** shah learly des be the standards applicable for each rank.

ii. University, professional, and public service. Recognition shall be accurded aculty members for the quality and extent of their public prvice. Demonstration of effective service at a level appropriate to rink is essential for retention, promotion, and tenure. A department may select higher standards if clearly described in the departmental RPT Statement.

d. Prior accomplishments. Candidates in a tenure-line faculty appointment may have accomplishments achieved prior to their probationary period at the University of Utah be considered as relevant to the demonstration of their achievement of the applicable RPT criteria and standards. Prior accomplishments, such as research publications or teaching experience, shall not substitute for a continuing record of accomplishments during the probationary period at the University of Utah. The burden is on the candidate to demonstrate that these achievements satisfy the RPT criteria and standards. (For evaluation process, see <u>Policy 6-311</u>-III-Section 4-C-1.)

[User note: In Revision 21 of this Policy, the existing d the scription voting membership and chairperson of the departmental PT Advi brv A-3 <u>wa</u>s m. Committee which previously appeared in Part e/ to Part III-E-1 below (to be incorporated with the desc. tio of the actions of the Committee). And the summary descriptions of the PT. e-tenure probationary period and procedures for charging the length of a probationary period (details of which are governed by other Policies) were ber suide departments in formulating added into Policy 6-303-III-A-3, RPT Statements and better inform **KPT** candidates regarding those important topics.]

3. RPT pre-tenure reabational period and schedule of reviews.

As more fully describe in and governed by the following cited Policies:

- a. The normal po-tenure probationary period, (i) for candidates initially appointed at the rank of Assistant Professor or Instructor is seven years (unass the department within the approved RPT Statement has adopted the alernative of six years), and (ii) for candidates initially appointed at the rank of Professor or Associate Professor is five years. (Policy 6-311-III-Section 4-B)
 - b. There shall be (i) a final formal review for tenure during the final year of the probationary period, (ii) normally either one or two mid-probationaryperiod formal reviews for retention (with the number and normal

scheduling to be specified in the approved RPT Statement), and (iii) informal reviews in all other years. (Part-III-B below)

- c. The probationary period length (and accordingly the schedule of formal reviews) for a particular candidate may be varied on the grounds and through the procedures prescribed regarding (i) shortening based on "credit for prior service" or "extraordinary progress toward tenure" (Policy 6-311-III-Section 4-C-1), or (ii) extending, based on "lea e of abs ce." "effect of administrative assignments," or "extraordinary rcumstar es" (Policy 6-311-III-Section 4-C-2), or under the terms of other Int Regulations, including those regarding Faculty Pare nal Benefits (Policy 6-315, Policy 8-002) or Part Time Status olicv 6
- B. Informal or Formal Reviews.

All tenure-track faculty members shall be reviewed annually to assess their achievement in teaching, research other relative activity, responsibility, and service. Informal annual reviews are required in each year in which a formal review is not held. More extensive, formal reviews are required for mid-probationary retenor reviews; here probationary year reviews (consideration for tenure); consideration for permination at any point in the probationary period (such as triggered reviews); and promotion decisions. (A chart of the timing and review remirements) set forth below at <u>Policy 6-303</u>-III-D-12)

. Informer reviews. Informal reviews must minimally include 1) a face to face meeting between the candidate and the department chair (or a designee, as er department rules) to discuss the candidate's progress based on the file; 2) involvement, determined by the department, from the RPT advisory committee (and academic program if relevant); and, 3) a written report to be made available to the candidate, the members of the RPT advisory committee and the department chair.

- a. Procedures. The department RPT Statement must prescribe specific requirements for informal reviews. Minimally, it must state the required documentation and who provides it, procedures for preparing and distributing the written report, the nature of the involvement by the RPT advisory committee (and interdisciplinary academic program if relevant), procedures and criteria for appointment of a chair's designee, if any, and the timetable for the annual reviews. Departments may electric clude in their Statements more extensive review procedures the the minin m required. Procedures for first-year reviews shall b d sepz ately if descri differing (typically less extensive) from informative ears. of late
- b. Actions after the report. Candidates shownave the opportunity to make a written response to the report. The report and the response, if any, are then filed in the candidate's currulative file with copy of each sent to the dean. The informal review concludes a this point.
- iews If a tenure-track faculty member does c. Triggering formal rete don ru not demonstrate clearly adequate progress to the reviewers in an informal artment hair of department RPT advisory committee in review, the de consultation with the reviewers may trigger a formal RPT review after giving the candidate written notice of such a review and its timing. The formal RPT view may proceed either in the following year or as soon as is completed (including the solicitation and receipt of external the uatic. etters if applicable) but no sooner than 30 days after written è٧ notid of the review is provided to the candidate.
- Formal reviews. Formal reviews must provide a substantive assessment of the candidate's research or other creative activity, teaching and service to date. Formal reviews require a vote of the full RPT advisory committee. External evaluations, as discussed below (Policy 6-303-III-D-9), are required for tenure and promotion reviews. Departments, through departmental RPT Statements, may also mandate external evaluations for mid-probationary

and/or triggered reviews. When such external evaluations are not mandated, candidates still retain the right to have external letters solicited unless quality of research or creative activity is not an issue in the review (e.g., a triggered review focused solely on teaching) and provided that such request is made before the review commences.

- a. Mid-probationary retention reviews. All tenure-track faculty members shall have at least one formal, mid-probationary review in their third or nurth year, as determined by departmental rules. Department PT Statements must prescribe the number of reviews and the year(s) in which they occur.
- b. "Triggered" reviews. The results of an informal review may trigger" a formal review earlier than ordinarily prescribed by departmental rule if an informal review has demonstrated inadequate performance or progress, as described in <u>Policy 6-303</u>-III. 3-10 above.
- c. Tenure. Tenure-track for the members must be reviewed for tenure by the final year of their probationary period. As summarized in Part III-A-3 above (and directly generated by <u>Policy 6-311</u>-III-Section-4):
 - i. Deadline for usure review. The final year is the fifth year for candidates appointed at the ranks of associate professor or professor and the scienth year for those appointed at the rank of assistant purfessor unless the department has established, through its RPT statement, a six year probationary period for assistant professors).
 - ii. Pequest for earlier review. Within limits specified by the departmental RPT Statement and <u>Policy 6-311</u>, candidates may request a review for tenure earlier than the year of the mandatory review.
- d. Promotion in rank.
 - i. Timing for tenure-track faculty. Tenure-track faculty members are usually reviewed for promotion to a higher rank concurrently with their

tenure reviews. Under unusual circumstances, tenure-track faculty members may request a review for promotion earlier than the year of the mandatory tenure review.

- ii. Timing for tenured faculty. Tenured faculty members may request a review for promotion within limits specified by the departmental RPT Statement.
- C. Notice to involved individuals (RPT procedures).
 - Notice to candidate. Each candidate for retention aromotion, or mare shall be given at least 30 days advance notice of the department RPT advisory committee meeting and an opportunity to submit any normation the candidate desires the committee to consider.
 - 2. Notice to department faculty and suff. A cleast three weeks prior to the convening of the departmental RPT objective committee, the department chairperson shall invite any intervited aculty and staff members in the department to submit writen recommendations for the file of each candidate to be considered stating as operically as possible the reasons for each recommendation.
 - 3. Notice to student advisory committee. Prior to the convening of the departmental RP radvisory committee, the department chairperson shall now, the colore is representative to the Student Senate and the department student dvisory committee(s) (SACs) of the upcoming review and request that the department SAC(s) submit a written report evaluating teaching enectiveness and making RPT recommendations as appropriate with respect to each candidate to be considered, stating as specifically as possible the reasons for each recommendation. The SAC evaluation and report should be based on guiding principles approved by the Senate Faculty Review Standards Committee and provided to the SAC by the department chairperson. The SAC shall be given at least three weeks to prepare its

report, but upon failure to report after such notification and attempts by the department chairperson to obtain the reports, the SAC's recommendations shall be deemed conclusively waived and their absence shall not thereafter be cause for complaint by faculty members appealing an adverse decision.

- 4. Notice to interdisciplinary academic program. When a candidate for retention, tenure or promotion in a department is also a member of an interdisciplinary academic program through a shared-appointment agreem nt with th department (as described in Policy 6-001-III-A), the department chairperson shall notify the chair/director of the academic program of the ac be considered at the same time that the faculty candidate notified. Academic program faculty as defined by an approved PT State ent Procedures established by the program (and not participation in the departmental review committee) shall meet to make a written recommendation which shall be sent to the department chair in a timely anne
- D. Candidate's file (RPT Proce ares).

Proper preparation and completeness of each candidate's file are essential for the uninterrupted progress of a N20 review through all the stages of the review process. Required completents and their timing are identified in the table below in <u>Policy 6-303- In D-12</u>.

- 1. Structur of the fiel. The file is envisioned as a notebook in the department office, which is growing throughout a faculty member's probationary period at the University. However, a physical notebook is not the only method allowable for example an electronic file or other format may be used alone or as a supplement. The file shall be cumulative and kept current as described in the following sections.
- Curriculum vitae. The candidate's file is expected to provide a current and complete curriculum vitae (CV), which is organized in a clear and coherent manner, with appropriate dates of various items and logical groupings or

categories related to the department's RPT criteria. The CV should be updated annually, but not during the course of a given year's review. During a review, new accomplishments may be reported and documented as a part of any of the reports or responses in the regular process.

- 3. Evidence for research/creative activity and evidence for teaching.
 - a. The candidate is expected to provide evidence for review or resourch and other creative activity, updated annually, consistent whethe department's description of evidence considered appropriate for this criticion, a provided in the RPT Statement.
 - es of evicing to be included in b. The RPT Statement shall describe the the file appropriate for evaluation regarding e criterion of teaching. These shall include multiple in the stors of quality of teaching, consistent its courses and instruction in with the University's commitment to "a multiple ways" (Policy UI-N, in addition to the minimum requirements of (i), ourse evaluation results, developed using the University's apr oved Sourse Jeedback Instrument and Report" pursuant to Policy 6 N-N (and per Part III-D-4 below), and (ii) SAC report (developed and file per Part III-C-3 and D-7), the types of evidence should orderily include (iii) assessments from peer observations and ses of teaching and teaching materials conducted by peer observers an alific by operience and familiarity with the methods of teaching and subjects appropriate for the discipline and department. The Senate Fac ty Review Standards Committee and office of the cognizant vice resident advise and guide departments regarding best practices for methods of assessing teaching quality, to be incorporated in the approved RPT Statements in keeping with the University's commitment to high quality education.
- 4. Past reviews and recommendations. The department chair shall include the recommendations from all previous reports submitted by all voting levels in

formal reviews, i.e. SAC, department and college RPT advisory committees, letters from chairs, deans, vice presidents, the president and recommendation from UPTAC (if present), and teaching evaluations and letters or reports from all informal reviews. The past reviews and recommendations in a file for a post-tenure review for promotion to Professor shall include the candidate's vita at the time of the previous promotion (or at appointment if hired as Associate Professor), all reports and recommendations from faculty reviews, and teaching evaluation summaries since the previous prom ion (or appointment). If that promotion or appointment was a re that five ve s earlier, teaching evaluation summaries should be aclude for at ast the most recent five years. (See Policy 6-100-III-Prega ig the " ourse Feedback Instrument and Report forms" Je nved by the cademic Senate for use in development of teaching/course evaluation summaries the te's file.) chairperson shall include in the calls.

- 5. Evidence of faculty responsibility. Leaves of administrative reprimand and the latest findings, decisione, or recommendations from University committees or officials, arising from relevant concurrs about the faculty member should also be included in the sandidate. file.
- 6. Recommendation from academic program. In the event that an interdisciplinary academic program with which the department has a shared-appointment agreement regarding the candidate produces a recommendation as uncer [the <u>colicy 6-303-III-C-4</u>], the department chairperson shall include the recommendation in the candidate's file before the department faculty RPT advisor, committee meets to consider the case.
- Recommendation from the department student advisory committee. If the department SAC produces a recommendation as under <u>Policy 6-303-III-C-3</u>, the recommendation shall be placed in the candidate's file by the department chairperson before the department RPT advisory committee meets to consider the case.

- 8. Other written statements. Any other written statements from the candidate, faculty members in the department, the department chairperson, the college dean, staff, or interested individuals--which are intended to provide information or data of consequence for the formal review of the candidate, must be placed in the file by the department chairperson before the department faculty RPT advisory committee meets to consider the case.
- 9. External evaluations. The purpose of external evaluations an to provi objective assessment of the quality of the candidate's work nd its imp lct on the academic and/or professional community at lar e. Along wh actual review, the external evaluator should describe his alifications and rد relationship to the candidate. The department chairped ould make sure on a that any letters of evaluation from outside the partment are requested early enough for the letters to arrive and be included in the candidate's file before the program and department RPTa mmittee meetings. Before visor external letters of evaluation are requ red, the faculty member being departmentally prepared form containing reviewed shall be prese ned with the following statep nts nd signa re lines:

I waive my right to the external letters of evaluation obtained from outside the department for my stention/ promotion/tenure review.

signal re date

I retain my nemt to read the external evaluation obtained from outside the department for my retention/promotion/ tenure review.

signature date

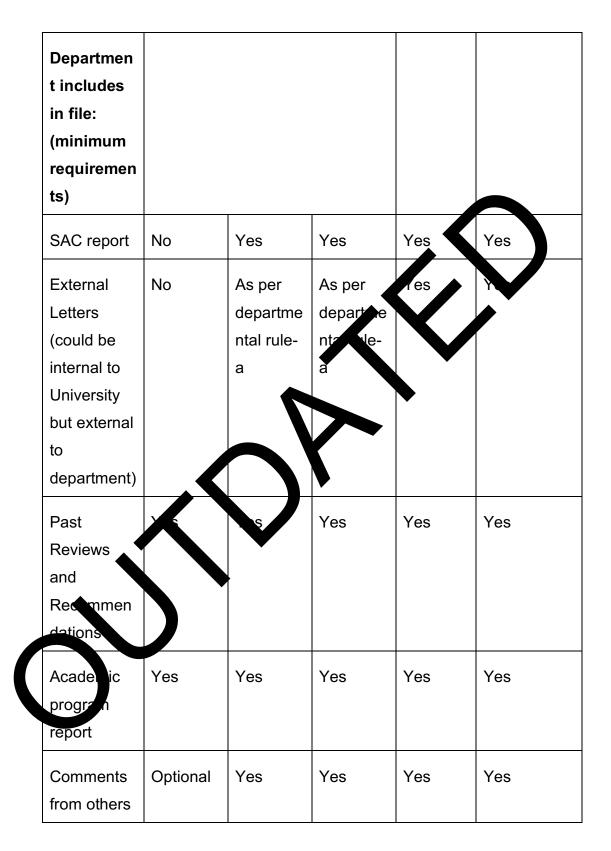
That form, with the candidate's signature below the statement preferred by the candidate, shall be included in the candidate's review file. When the candidate reserves the right to read the external letters of evaluation, respondents shall be informed in writing that their letters may be seen by the faculty member being reviewed.

- 10. Candidate's rights. Candidates are entitled to see their review file upon request at any time during the review process, except for confidential letters of evaluation solicited from outside the department if the candidate has waived the right to see them. If a candidate wishes to comment on, or to take exception to, any item in his/her initial formal review file, the candidate's written comment or exception must be added to the file before the department RPT advisory committee meeting is held.
- 11. Review of file. The candidate's file shall be made available withose eligible to attend the departmental RPT advisory committee meeting a reasonable time before the meeting, which may be specified in the department RPT Statement.

Туре	Retention			Tenure	Promotion to Associate or "full" Professor"
Category	Informal	Formal	Formal	Formal	Formal
When	Artual	Triggered –b,c	Mid- Probati onary	End of Probatio n, or see U-Policy 6-311	Typically end of probation or when meets department standards
Involved Parties:					

12. Table of Minimum University Requirements for Anglews.

External reviewers	No	As per departme ntal rule- a	As per departme ntal rule- a	Yes	Yes
Academic Program, if appropriate	Yes	Yes	Yes	Yes	Yes
SAC	No	Yes	Yes	res	
Department RPT	Represen tation-d	Yes	Yes	X	Yes
Department chair-f	Yes	Yes	Ves	Yes	Yes
College RPT	No			Yes	Yes
Dean	Recures Report	Yes	Yes	Yes	Yes
Cancelate					
file: (minir um					
ts)					
Curriculum Vitae	Yes	Yes	Yes	Yes	Yes



Student	Yes	Yes	Yes	Yes	Yes
Course					
Evaluations					

- a. Candidates retain the right to have external letters be solicited in a formal review if quality of research or creative activity is an issue in the review.
 See <u>Policy 6-303-III-D-9</u>above.
- b. This triggered review may occur in the same year as the review or in the subsequent year.
- c. The required components for triggered and not-probationary haviews may be identical or different, as determined by department rule
- d. This representation occurs through the type of involvement set forth in departmental rule. See <u>Policy 6-303- III-B-1</u> a rive.
- e. Reports from all voting levels in an CT reviews and letters or reports from all annual reviews. Policy 6-303- 1-14
- f. A designee may be used for a formal reviews in large departments' reviews as noted in <u>policy 6-30</u> <u>III-B-1</u>.
- E. Action by the depresent of retention promotion, and tenure advisory committee (RPT Procedures).
 - 1. Meetings, membership, and chairperson of the departmental RPT Advisory Committee. The repartment chairperson shall call a meeting of the departmentar RPT advisory committee to conduct reviews.
 - a. Con nittee voting membership:
 - Retention. In each department all tenured faculty members, regardless of rank, are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of retention. Other faculty members may participate in the consideration of candidates for retention if allowed by department rules, but may not vote.

- ii. Promotion. In each department all tenure-line faculty members of equal or higher rank than that proposed for the candidate for promotion are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of promotion. Other faculty members may participate in the consideration of candidates for promotion if allowed by department rules, but may not vote.
- iii. Tenure. In each department all tenured faculty membrus, recordless of rank, are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of tenure. Other faculty members may participate in the consideration of calculates for tenure if allowed by department rules, but manyot vote.
- iv. Small academic unit rule. Any department (or div n) advisory committee making a formal RPT recommendation must include at least three members eligible to viscous tenure status and rank. If the unit does not have at least three gib a more bers, the department (or division) chairpers method for the dean one or more faculty members with the appropriate terrure status and rank and with some If the caldidates field from other units of the University of knowledge popropriat, emeritus faculty. In advance of the Utah or TON chai erson's co facting such faculty members, the chairperson shall notify the sandidate of the potential persons to be asked, and the didate substitution of the opportunity to comment in writing on the of the potential committee members. The final selection rests uita h the dean.
- v. Ingle vote rule. No individual may cast a vote in the same academic year in any candidate's case in more than one capacity (e.g., as member of both department and interdisciplinary academic program, as member of both department and college advisory committees, as member of both department and administration).
- b. Chairperson. The chairperson of the department RPT advisory committee shall be elected annually from the tenured members of the department or,

in the School of Medicine only, the chairperson may also be elected from the department's career-line faculty members with the rank of Associate Professor or Professor. In this election all tenure-line faculty members of the rank of professor, associate professor, assistant professor, and instructor shall be entitled to vote. The department chairperson is not eligible to chair this committee.

- 2. Committee secretary. A secretary of each meeting shall be draighted by the chairperson of the department RPT advisory committee and shall take notes of the discussion to provide the basis for developing a summary.
- 3. Quorum. A. quorum of a department advisory constituee or any oven case shall consist of two-thirds of its members except that way menuer unable to attend the meeting because of formal leave transfer enousical disability shall not be counted in determining the number equired for a quorum.
- 4. Absentee voting. Whenever practions in the department chairperson shall advise all members on leave or otherwise absent of the proposed action and shall request their written prime is an avotes. Absent members' written opinions shall be disclosed at the neeting and their votes will be counted the same as other votes. Absentee votes must be received prior to the meeting at which a vote intaken by the department advisory committee.
- 5. Limitations in participation and voting. Department chairpersons, deans, and other administrative officials who are required by the regulations to make their own recommendations in an administrative capacity may attend and, upon invitation by unpority vote of the committee, may submit evidence, judgments, and opitions, or participate in discussion. By majority vote the committee may move to executive session, from which nonvoting participants may be excluded. Under the single-vote rule (Part III-E-1-a above), department chairpersons, deans, and other administrative officials who cast RPT votes in their administrative capacities shall not vote at the department level.
- 6. Committee report. After due consideration, a vote shall be taken on each candidate for retention, promotion, or tenure, with a separate vote taken on each proposed action for each candidate. The secretary shall make a record

of the vote and shall prepare a summary of the meeting which shall include the substance of the discussion and also the findings and recommendations of the department advisory committee. If a candidate is also a member of an interdisciplinary academic program through a shared-appointment agreement and per [Part III-C-4 above] the program produces a recommendation, the department advisory committee report shall reflect the department's discussion and consideration of the report and recommendation of the academic program.

- 7. Approval of the committee report. This summary report of the meeting signed by the secretary and bearing the written approvalue the committee chairperson, shall be made available for inspection mane committee members. After allowing an inspection percorpt not less than two business days nor more than five business days, and after such modification as the committee approves, the secretary such forward the summary report to the department chairperson and the candidate, and g with a list of all faculty members present at the proteins.
- 8. Confidentiality. All consultee votes and deliberations are personnel actions and should be treated with confidentiality in accordance with policy and law.
- F. Action by department charperson (RPT procedures)
 - Recommendations. After studying the entire file relating to each candidate, the department chairperson shall prepare his/her written recommendation to included in the file on the retention, promotion, or tenure of each candidate, including specific reasons for the recommendation.
 Notice to faculty member. Prior to forwarding the file, the department
 inclusion shall send an exact copy of the chairperson's evaluation of each

faculty member to that faculty member.

3. Candidate's right to respond. The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her formal review file in response to the summary report of the department RPT advisory committee and/or the evaluation of the department chairperson. Written notice of this option shall be included with the copy of the chairperson's

evaluation, which is sent to the candidate. If the candidate chooses to add such a statement to the file, that statement must be submitted to the department chairperson within seven business days, except in extenuating circumstances, of the date upon which the chairperson's evaluation is delivered to the candidate. If the candidate submits a written statement to the department chairperson within this time limit, the candidate's statement shall be added to the review file without comment by the chairperson.

- 4. Forwarding files. The department chairperson shall then it ward the entire file for each individual to the dean of the college.
- G. Action by dean and college advisory committee (RPN roc dures)
 - Referral of cases to the college advisory constituee / mandership of committee. Each college shall establish a college RPT advisory committee and define its membership. The definition of membership shall specify whether there must be representation from all or fewer than all departments within the college, and whether on in what way representatives from a department are to participate or nonparticipate in matters involving candidates from the representatives' or partments, consistent with [Part III-E-1-a of this Policy] (single vote the). The definition of membership shall be included in the charter withe college council (governed by <u>Policy 6-003</u>), or may be included in a courge-wide RPT Statement (described in part III-A-2 of this Policy).
 - a. Retation. The dean at his/her discretion may request the college advisory complittee to review and submit recommendations on any candidate for retention. However, if termination of a candidate is recommended by the SAC, or the department advisory committee, or the department chairperson, the dean shall transmit the entire file on that candidate to the college advisory committee.
 - b. Promotion or tenure. The dean shall forward the entire file on all cases dealing with promotion or tenure to the college advisory committee.

- c. Attendance and participation at meetings. Neither the dean nor the chairperson of the department concerned shall attend or participate in the deliberations of the college committee except by invitation of the committee.
- d. Recommendations of the college advisory committee. The college advisory committee shall review the file of each case referred to it and written c shall determine if the department reasonably applied its eria, standards and procedures to each case. The college co nittee sh make its recommendations on an individual's re ention_pron or tenure, based upon its assessment whether the rtment's der recommendations are supported by the vidence ser ed. The college committee shall use the department criter and standards(or college criteria and standards if the college has college vide instead of departmental criteria and standa ds) hereking its assessment. If documents required by policy are ssing, the college committee may for opropriate action. The college return the file to the epartme committee shall dvis the deal in writing of its vote and recommend as.
- Recommendations of the dean. The dean shall then review the entire file for each candidate or retention, promotion, or tenure and shall make recommendations in writing, stating reasons therefore, and shall forward the file, including on the recommendations, to the cognizant senior vice president (for academic affairs or for health sciences).
- 3 Notice of faculty members. Prior to forwarding the file, the dean shall send an exact copy of the college advisory committee's report of its evaluation and an exact copy of the dean's evaluation of each faculty member to that faculty member and to the department chair.
- 4. Candidate's right to respond. The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her formal review file in response to the report of the college advisory committee's evaluation

and/or the dean's evaluation. Written notice of this option shall be included with the copy of the dean's evaluation which is sent to the candidate. If the candidate chooses to add such a statement to the file, that statement must be submitted to the dean within seven [calendar] days, except in extenuating circumstances, of the date upon which the dean's evaluation is delivered to the candidate. If the candidate submits a written statement to the dean within this time limit, the candidate's statement shall be added to the reverse file without comment by the dean.

- 5. Forwarding files. The dean shall then forward the entire file for each individual to the cognizant senior vice president.
- H. Action by cognizant vice president, and the University Propoting and Tenure Advisory Committee (RPT procedures)
 - 1. Referral of cases to the University committee. The ognizant senior vice president shall forward to the University repotion and Tenure Advisory for its review and recommendation Committee ("UPTAC") [see Policy 6rich the allege is organized and functions as a the files in all cases in y single academic department ("single-department college") or there is a differing recommendation from y of the prior review levels--the student advisory committee, the interdisciplinary academic program, the department RPT advisory committee the department chairperson, the college RPT advisev committee, or the college dean. The cognizant senior vice president, s/hei ole di cretion, may also send any other RPT case to UPTAC for its nd recommendations. UPTAC provides advice to the senior vice review preside
 - Recommendations of the University Promotion and Tenure Advisory Committee. The committee shall review the entire file for all cases referred to it, and after due deliberation shall submit its recommendations with reasons and its vote to the cognizant senior vice president.

- a. In cases reviewed only because they arise from single department colleges, UPTAC shall determine whether the college reasonably applied its written criteria, standards and procedures to each case and whether the college's recommendations are supported by the evidence presented.
- b. In cases in which there were differing recommendations from the prior reviewing entities, UPTAC shall identify the source(s) of the differences or controversy, determine how each level addressed the indues in controversy, and assess the degree to which the file is a ficiently lear to support any conclusive recommendation.
- c. In cases which are reviewed at the discretionary induest of the senior vice president, UPTAC shall review the file to a spond to be specific issues identified by the senior vice president.
- d. In making all reviews, UPTAC shall provide its duties consistent with requirements of Policy 2004 (including disqualification of interested members), and UPTAC shall consider only the material in the file. UPTAC shall summarize its as ressment of the issues identified in a, b, or c above in a written expect to the scalar vice president, but not report a conclusion of its over on the condidate's overall qualification for retention, promotion, or tenure.
- 3. Consideration by the senior vice president. The cognizant senior vice president sharreview each file, including the recommendations (if any) of the Universet Promotion and Tenure Advisory Committee. If the senior vice resident determines that the file is incomplete or unclear, he/she may return the file to the department with a request to clarify specific matters, materials, and/or issues. All levels of review shall reconsider the file and their votes if appropriate, with the candidate responding in writing at the normal points in the process. (SAC need not reconsider the file unless teaching is the issue in question.)

- 4. Senior vice president's decision. In cases of positive retention decisions, the senior vice president's decision shall be the University's final decision. In all cases of promotion and tenure and in cases of retention when termination is recommended, the senior vice president shall prepare a final recommendation to the president with respect to the candidate's retention, promotion, and/or tenure, stating reasons therefore.
- 5. Notice of senior vice president's recommendation. In positive n cases, the senior vice president shall transmit the final decision and the repo of the University Promotion and Tenure Advisory Committee √if an√ the candidate, the department chair, and the dean. Ir all other cases. rior to forwarding the file to the president, the senior fice adent s all send an nure Advisory exact copy of the report of the University no notion and Committee (if any) and an exact copy of the sen vice president's recommendation with respect to the candidate, the dean, the department chairperson, a d t e charpersons of the departmental RPT advisory committee No the Student Advisory Committee, together with a copy or summary of policy 6-303 II-I Appeal of recommendation). The PT and student advisory committees shall chairpersons of the depart, ental f their committees in an expeditious manner of the senior notify the mer Jers vice president's recommendation. The senior vice president shall not submit the final recommendation to the president until at least fourteen [calendar] days h e elapse following the giving of such notice, so that parties may vice president's office if they intend to appeal. **NOUN** ae 3

Extension of time limits. The time limits provided by this subsection H may be extended by the senior vice president in the interest of justice.

- I. Appeal of recommendation with respect to retention, promotion, and/or tenure (RPT procedures).
 - Appeal by faculty member RPT candidate. A faculty member RPT candidate may appeal to the Senate Consolidated Hearing Committee (SCHC) for review of an unfavorable final recommendation with respect to retention,

promotion, and/or tenure by following the procedures provided in <u>Policy 6-011</u> and upon the grounds enumerated in that section. The SCHC is the hearing body for an appeal brought on any grounds, including academic freedom, but if the candidate alleges that the unfavorable recommendation violates academic freedom, then the SCHC shall refer that part of the appeal to the Senate Committee on Academic Freedom and Faculty Rights for pre-hearing consideration and report, as per <u>Policy 6-010</u>.

- 2. Other appeals. Appeals of the vice president's recommendation on promotion and/or tenure may also be initiated by the department SAC, a national of the departmental RPT advisory committee, the depandent chairperson, or the dean, when the vice president's recommendation opposes their own recommendation. The appeal is made to the Schate Consolidated Hearing Committee and should follow the Procedures provided in Policy 6-011, and upon the grounds enumerated in that sector. Authorized parties initiating an appeal may have access to the entire the except that the faculty member RPT candidate may not see external levers which he/she waived the right to read.
- J. Final action by president (RPN roce ares)
 - 1. Action in alternee of heiew proceedings. If no proceedings for review have been initiated order Policy 6-303-III- I within the time provided therein, the recommendation of the vice president with respect to retention, promotion, user tende of a faculty member shall be transmitted to the president for action. After reviewing the recommendation, giving such consideration to the documents in the candidate's file as the president deems necessary under the chainstances, the president shall make a final decision granting or denying retention, or granting or denying promotion, and/or tenure, and shall advise the candidate, the cognizant vice president, the dean and the department chairperson of that decision, stating reasons therefore.
 - 2. Action after conclusion of review proceedings. If proceedings for review have been timely initiated under subsection III-I of this Policy, the recommendation

of the vice president with respect to retention, promotion, and/or tenure shall be placed in the candidate's file but shall not be transmitted to the president for action. Except as provided in[subsection J-3], below, the president shall not consider the merits of the matter and shall not take final action with respect thereto until the pending review proceedings have concluded. Upon conclusion of the review proceedings, the president shall review the file and make a final decision consistent with [paragraph J-1], above

- Notice of termination. When review proceedings have been mely initi ted under subsection III-I of this Policy, the president, n of the recommen 'at' cognizant vice president, may give a candidate action written notice of termination pursuant to Policy 6-311-Section 5. Such tice anall be effective as of the date it is given if a final decision to terminate the faculty member's appointment is subsequently made by the president on or before the termination date specified in the norce, b hall have no force or effect if a final decision is made by the president on or before that date approving retention, promotion, an for tenut or therwise disposing of the case in a ire termi ation. manner that does p t re
- K. New appointments with enure-expedited procedures for granting tenure

Tenure may be greated at the time of initial appointment of a faculty member (common known as hiring with tenure'). See Policy 6-311-III-Section 3-B. When a choicen reserving tenure is to be considered contemporaneously with a lecision reparding initial appointment, the procedures for the appointment and litial rank recisions are governed by Policy 6-302, and the procedures for the tenure accision are as described here in this Policy in Section III-K.

Section K allows the use of expedited procedures for tenure decisions arising in circumstances in which more complex and lengthy procedures are inappropriate.

1. For purposes of expedited decisions on granting of tenure at the time of initial appointment of a candidate, the voting membership of the department RPT

advisory committee shall consist of all tenured faculty members of the department, regardless of rank (subject to the single vote rule, Part III-E-1-a-v). If allowed by departmental rule described in the departmental RPT Statement, other faculty members may participate in consideration of the candidate, but shall not vote on the tenure decision.

- 2. The chairperson of the department shall provide interested persons with notice of scheduled meetings of the committee, and invite the bmit 4 10. information for consideration by the committee. Notice make given a ally, or in writing as circumstances permit, and should be give n as ea / as practicable under the circumstances. Notice shall be given to the andidate, the department faculty and staff, and student epres atives including any members of the student advisory committee who are as ole, and/or other students determined by the department chairper on to adequately represent student interests). If it is contemple to that the candidate will also become a member of an interdisciplinary academic program through a sharedappointment agreement / Jert III-C4 above) with the tenure-granting department, notice shall also be playided to the chair/director of that who may in turn give notice to members of that program. academic program
- 3. The candidates file shall include information submitted by the candidate, faculty, state and student representatives of the department, and representatives any related interdisciplinary academic program, and other inform on determined by the department chairperson or department RPT e relevant. It shall include a curriculum vitae, available rso chan evidence of research/creative activity, available evidence of teaching effective hess, and a report from student representatives, and may include available evidence regarding faculty responsibility. The file shall include letters of evaluation from at least three external evaluators. It shall be presumed that the candidate waives any right to see such external evaluation letters, unless the candidate submits to the RPT chairperson a written request for access to any letters prior to the time the letters are submitted.

- 4. The actions of the department RPT committee and the department chairperson shall proceed as described in Parts III-E and F of this Policy, except that i) the RPT committee chairperson may set a shortened period for inspection of the report of the RPT meeting, ii) the candidate need not be provided copies of either the committee report or the chairperson's recommendation, and iii) the candidate need not be given an opportunity to respond to either the committee report or the chairperson's provided copies.
- 5. The actions of the dean and college RPT advisory commisse shall proceed as described in Part III-G, except that the candidate need not be provided copies of the committee's or the dean's recommendation, and the candidate need not be given an opportunity to respond the either ecommondation.
- 6. The actions of the vice president and UPZ Aushall proc as described in Part III-H for a tenure decision, except as follows UPTAC reviews all recommendations of tenure accompanying new appointments, regardless of college or of votes by prior levels. UTA may delegate its responsibilities to a subcommittee formed frequencies such expedited proceedings, and its reports may be made abbreviate form. The candidate need not be provided copies of either the compatible's report or the vice president's recommendat e student epresentatives need not be provided such copies, but then practical shall be informed of the recommendations of UPTAC and the vice president. The vice president may submit the final endation the president immediately (without awaiting notice from recom intent to appeal). soh anv
- . In expected proceedings neither the candidate nor any other person has a right of uppeal of either a favorable or unfavorable recommendation of the vice president. The final action of the president shall be taken as provided in Part III-J.
- L. Tenured Faculty Reviews ("TFR").

[**User note**: Periodic post-tenure reviews of tenured faculty members (other than for the specific purpose of considering promotion-in-rank) are now governed by new Policy 6-321, beginning July 1, 2017.]

EndNote 1: Adaptation of Policy 6-303 for variations in organizational structure of academic departments and colleges.)

- a. The provisions here in Policy 6-303 are stated in terms a for the ropriate most widely adopted form of organizational structure chacad c units, in subdivision known as which a tenure-line faculty appointment is ade **bized** toge an "academic department," which is or e with related subdivisions in a parent "multi-department andemic college." In that structure, <u>Policy 6-311</u> provide that tenure is exablished in an academic department. There are several v riatic organizational structure relevant to appointmen tenue of faculty, as explained in [Policy 6-001 Academic Unit and Acade nic Sovernance, and Policy 2-004 (Organization) the U versity) See also 2-005 (Officers of the University)
- b. These provisions h Policy 6-303 shall be interpreted for appropriate adaptation accommodate such relevant variations in organizational structure, including the following:
- While processary, the term "department" shall refer to an academic sobdivision within a parent multi-department college, which operates a equivalent to a department but is known by another name, including any "free-standing division" or "school." See <u>Policy 6-001</u>, and <u>Policy</u> 2-004.
 - Where necessary, the term "college" shall refer to an academic organization which operates as equivalent to a college, but is known by another name, including a "school." See <u>Policy 6-001</u>, and <u>Policy 2-004</u>.

- c. For colleges that have no formal internal academic subdivisions (known commonly as 'single-department colleges' or 'non-departmentalized colleges'), appointments and tenure are established in the college. See Policy 6-001, Policy 2-004, and Policy 6-311-1. Accordingly, the procedures described here for development of criteria and standards, and making and reviewing of retention, promotion and tenure decisions, shall be modified appropriately, including as follows:
 - i. Formulation of criteria, standards and procedures for estention, promotion, and tenure reviews, described have in 6-303-mAac and elsewhere, shall be conducted by the celles. (including approval of the governing RPT Statement by majorit vote of the tenure-line faculty of the college, and the dean).
 - ii. The functions described herein 2303-III-A and elsewhere as being performed by a department-level APT advisory committee shall be performed by a conege FNT advisory committee. The description of the membership and leadership of the committee shall be interpreted to include appropriate modifications, including that the college dean is ineligible to serve as committee chair, and that committee members shall us drawn from the college faculty.

iii. The functions described here in 6-303-III-B-1, and III-F and elsewhere as using verformed by a department chairperson shall be performed in the college dean (see <u>Policy 2-005</u>-Section 5-F), including such a tivities as holding meetings with RPT candidates.

- iv. The functions described here in 6-303-III-C-3 and elsewhere as being performed by a department-level student advisory committee shall be performed by the college SAC.
- v. The actions described here in 6-303-III-G, and elsewhere as being performed by a college dean and college-level RPT committee shall be

inapplicable. Instead, RPT actions from a single-department college shall be forwarded for review at the level of the cognizant vice president and appropriate committees as provided in Section III-H and elsewhere.

vi. For tenured faculty reviews (TFR), the functions described here in 6-303-III-L shall be performed by the dean and tenure-line faculty of the college.

(EndNote 2: Adaptation of Policy 6-303 for Verversity Lineares.) [Reserved.] [Note to users: As of 2014, a project is underway to develop content providing for adaptation of RPT and TFR pacerares for the University Libraries, as part of a larger project of updating and revising multiple Regulations regarding the Libraries and library faculty members. That content may be proposed a be withined in a Note within Policy 6-303, or in a new University Regulation.]

[**Note**: The part whis degulation (listed below) are Regulations Resource Information the content of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Inditutional Policy Committee, as per Policy 1-001 and Rule 1-001.]

IV. Rules, Proc. Jures, Souidelines, Forms and other Related Resources

- A. Iules
- B. Procedures
- C. Guidelines

Checklist & Guideline for Department RPT Statements

University RPT Standards Committee Approval Process Overview (<u>Approval</u> <u>Process Handout</u>)

University RPT Standards Committee Guide on Articulating Department RPT Statements

- D. Forms
- E. Other related resource materials

Supplemental Rules (Department Statements of RPT Oneria State are

Procedures)

Resource information

V. References

(Reserved)

VI. Contacts

The designated contact afficials for this Folicy are:

- A. Policy Owner (rimary collect person for questions and advice): the Associate Vice President for Faculty—Academic Affairs, and the Associate Vice President for Health Sciences.
- B. olicy Officer: the Sr. Vice President for Academic Affairs, and the Sr. Vice resident for Health Sciences.

These onicials are designated by the University President or delegee, with assistance of the Institutional

Policy Committee, to have the following roles and authority, as provided in University Rule 1-001:

"A 'Policy Officer' will be assigned by the President for each University Policy, and will typically be someone at the executive level of the University (i.e., the President and his/her Cabinet Officers). The assigned Policy Officer is authorized to allow exceptions to the Policy in appropriate cases.... "

"The Policy Officer will identify an 'Owner' for each Policy. The Policy Owner is an expert on the Policy topic who may respond to guestions about, and provide interpretation of the Policy; and will typically be someone reporting to an executive level position (as defined above), but may be any other person to om the President or a Vice President has delegated such authori for a specia ď rea of University operations. The Owner has primary responsible tv f maintaining the relevant portions of the Regulations Library.....[ap bears th nsibility for esr determining -requirements of particular Policies....." Viversity Rule 1-001-III-B & E.

VII. History

Renumbering: Renumbered as Point 6-303 affective 9/15/2008, formerly known as PPM 9-5.1.

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A. Current Version Revision

Effective late July 3 2017

prove Acade Senate February 6, 2017

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B. Earlier versions:

Revision 22: Effective dates April 14, 2015 to June 30 2017

Legislative History of Revision 22

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Revision 21: Effective dates May 14, 2014 to April 13, 2015

Legislative History of Revision 21

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Legislative History of Revision 20

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Legislative History of Revision 19 (Part A - Memo)

Legislative History of Revision 19 (Part B - Drafting h

Revision 18: Effective dates May 16, 2005 to 50, 200

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Revision 16: Effective dates June 9, 2003 + March 20, 2005

Revision 15: Effective dates December 28, 1990 to June 8, 2003