

Policy 6-321: Required Reviews for Tenured Faculty.

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I. Purpose and Scope

A. Purpose.

In accordance with Utah Code and Utah Board of Higher Education Policy R481, which require both routine annual performance reviews and routine in-depth reviews conducted every five years for Tenured Faculty Members, with this policy the university establishes the required reviews for Tenured Faculty Members. This policy governs the criteria, standards, evidence, and procedures for Tenured Faculty Reviews (TFRs) and requires each Academic Unit to document their annual performance review procedures.

B. Scope.

This policy applies to all Tenured Faculty Members of the university, and to all Academic Units with Tenured Faculty Members.

II. Definitions

The following definitions apply for the limited purposes of this policy and any associated regulations.

A. "Academic Unit" is defined for purposes of this policy as described in Policy 6-001.

B. "Academic Freedom" is defined for purposes of this policy as described in Policy 6-010.

C. "Dean" is the administrative head of a College as defined in Policy 2-005.

D. "Degree-granting Institution" is defined for purposes of this policy as described in Utah Code 53B-1-101.5 and 53B-1-102.

E. "Department Chair" is the administrative head of a Department as defined in Policy 2-005. The Department Chair equivalent in a school or library is a Director. The Department Chair equivalent in a free-standing division is a Division Chair. In a single-department college, the Dean fulfills this role as applicable.

F. "Tenured Faculty Member" is defined for purposes of this policy as described in Policy 6-300.

III. Policy

A. Academic Freedom

1. The Academic Freedom of the Tenured Faculty Member is protected and defended throughout the entire TFR process and all annual performance reviews.

B. Required Reviews

1. Annual Performance Reviews: Each Tenured Faculty Member shall receive an annual performance review.
2. Tenured Faculty Reviews: Every five years, each Tenured Faculty Member shall have a comprehensive review of the Tenured Faculty Member's performance over the review period. A TFR may fulfill the annual performance review requirement for the review year.
 - a. If a Tenured Faculty Member seeks rank advancement before or at the same time as the next scheduled TFR, the university's rank advancement review constitutes the TFR.
 - b. For extensions to the review period, see Guideline G6-321A.
 - c. For reductions in the review period related to improvement or remediation plans, see Tenured Faculty Review Procedures below.
3. It shall be the duty of the Department Chair to ensure that the reviews required for each Tenured Faculty Member in the department are completed in accordance with applicable regulations.

C. Relationship to Other Policies and Processes

1. In the course of a review of a Tenured Faculty Member, as described in this policy, if an issue arises that is governed by another regulation, that issue should proceed separately as appropriate under the relevant regulation and procedure.

D. Annual Performance Review Procedures

1. In consultation with the faculty, the Department Chair shall develop and document in writing the annual performance review procedures and share the final procedures with the faculty of the Academic Unit, Dean, and cognizant senior vice president. Periodic revisions of the annual performance review procedures follow the same process.
 - a. Two or more departments within a multi-department college may jointly adopt the same annual performance review procedures in consultation with the tenure-line faculty of each department. If all Academic Units in a college jointly adopt the same annual performance review procedures, the procedures are considered college-wide.
2. Annual performance reviews must include review of at least the following:
 - a. an updated curriculum vitae or other profile source;
 - b. course/teaching/mentoring feedback, if applicable;
 - c. prior year annual performance review or a formal Retention, Promotion, and Tenure (RPT) or TFR from prior year, as applicable; and
 - d. any current improvement or remediation plan.
3. Annual performance review procedures must include at least the following:
 - a. a rigorous review by the Department Chair or designee with feedback provided to the Tenured Faculty Member;
 - b. documentation of the completed review including the feedback provided; and
 - c. an opportunity but not obligation for the Tenured Faculty Member to respond.

E. Tenured Faculty Review Statements

1. Each Academic Unit shall develop a TFR Statement. These TFR Statements shall be formulated by the Academic Unit faculty, must be consistent with university Regulations, and must be based on the university template.

2. Department level TFR Statements and any revisions require approval by a majority of the tenure-line faculty of the department, Department Chair, Dean, Senate Faculty Review Standards Committee (SFRSC) acting as delegee of the Academic Senate, and the cognizant senior vice president or designee.
 - a. Two or more departments within a multi-department college may jointly adopt the same TFR Statement by majority vote of the tenure-line faculty of each department and the approval of each Department Chair. If all departments in a college jointly adopt the same TFR Statement, the statement is considered college-wide.
3. TFR Criteria
 - a. TFR Statements shall address the performance of candidates with respect to the applicable review criteria of research/creative activity, teaching, service, and any other discipline specific criteria (e.g., clinical practice advancement, librarianship).
4. TFR Standards
 - a. The Academic Unit shall articulate expected standards for a Tenured Faculty Member using the rating scale of satisfactory and not satisfactory as clearly defined in the Academic Unit's TFR statement.
 - b. The minimum standard for a Tenured Faculty Member is a rating of satisfactory in each of the applicable review criteria.
 - i. An Academic Unit may select standards higher than the minimum standard if clearly described in the TFR Statement.
 - ii. An Academic Unit may choose to use the same rating scale as the Academic Unit's RPT statement (excellent, [very good], effective, and not satisfactory). In this instance, effective is considered the equivalent of satisfactory.

- c. The standards for a Tenured Faculty Member may be different from the standards for promotion to Associate Professor or Professor and/or award of tenure.
- d. The TFR standards and the evidence accepted to document that the reviewed faculty member has met those standards shall be articulated in the Academic Unit's TFR Statement. Such standards and evidence should reflect flexibility to account for the possible reallocation of faculty responsibilities as reflected in the Academic Unit's workload policy or any other written workload agreement with the Tenured Faculty Member.

F. Tenured Faculty Reviews (TFRs)

- 1. A TFR file must include at least the following evidence as applicable:
 - a. an updated curriculum vitae;
 - b. a personal statement that includes a description of the Tenured Faculty Member's work in the applicable review criteria areas (e.g., research/creative activity, teaching, service, clinical practice advancement, librarianship), and how an improvement plan or remediation plan has been addressed if applicable;
 - c. evidence of research/creative activity;
 - d. evidence of teaching activity including available course feedback reports since the last TFR or RPT review and at least one additional form of evidence;
 - e. evidence of service activity including examples of professional, university, and public/community service, as applicable;
 - f. evidence of any intellectual property owned wholly or partly by the faculty member and commercialization efforts attributed to the faculty member, as relevant;
 - g. annual performance reviews since the last TFR or RPT review;

- h. the written Academic Unit workload policy and any Tenured Faculty Member's written workload agreement (redacted as needed);
- i. curriculum vitae, reports, and responses from the most recent TFR or RPT review;
- j. any improvement plan or remediation plan from the most recent TFR review, including evidence that the resources identified in that plan have been provided;
- k. any signed, written report submitted by the head of the Academic Unit with whom a faculty member's appointment is shared;
- l. any other material the reviewed faculty member chooses to submit; and
- m. final documentation from sanctionable violation(s) of university regulations.
 - i. required documentation includes letters of administrative reprimand and/or final findings and decisions from university committees or officials arising from sanctionable violations of university regulations by the Tenured Faculty Member. (See Policy 6-316);
 - ii. After 10 years from the date of the sanction, a Tenured Faculty Member may request removal of evidence of violations of university regulations from a TFR file, which request may be approved or denied at the joint discretion of the cognizant Dean and cognizant senior vice president.
 - iii. If necessary, materials should be redacted for the confidentiality of involved individuals other than the Tenured Faculty Member.

2. Tenured Faculty Review Procedures

a. Timeline

- i. The Academic Unit shall choose whether the TFR will take place in the Fall or Spring Semester.

b. University TFR Committee

The university TFR Committee for a Tenured Faculty Member's review consists of the following three subcommittees. Across the three subcommittees, membership shall include at least two tenured faculty peers from outside the department who may be from a different Degree-granting Institution.

i. Tenured Faculty Peers Subcommittee (TFPS), with the following membership:

- A. tenured faculty peer(s) from the Academic Unit.
- B. Academic Units may choose to fulfill the required outside membership by including tenured faculty peers from outside the department on this subcommittee.
- C. One subcommittee member shall be designated to act as TFPS chair.

ii. Academic Unit Leadership Subcommittee (AULS), with the following membership:

- A. the cognizant Department Chair or designee; and
- B. the cognizant Dean or designee.
- C. In single department colleges, the Dean shall designate the second member of the subcommittee.

iii. University Leadership Subcommittee (ULS), with the following membership:

- A. the cognizant associate vice president for faculty or equivalent or designee; and
- B. the cognizant senior vice president or designee.

c. Tenured Faculty Peer Subcommittee (TFPS)

- i. This subcommittee is created in accordance with the Academic Unit's fully approved TFR Statement.
 - A. The Department Chair must submit the proposed membership of each TFPS and note the TFPS member designated as chair to the Dean, who then forwards their recommendation to the cognizant senior vice president for appointment.
 - B. The TFPS shall conduct a review of the complete TFR file and report its findings and recommendations, including a specific rating on each of the applicable review criteria using the rating scale in the TFR Statement.
 - ii. The TFPS shall send the TFPS report to the Tenured Faculty Member, who has seven business days to respond if they so choose.
 - iii. The TFPS shall forward the complete file to the AULS.
- d. Academic Unit Leadership Subcommittee (AULS)
- i. Upon receipt of the complete TFR file, the AULS shall conduct a review and report their findings and recommendations including a specific rating on each of the applicable review criteria using the rating scale in the TFR Statement.
 - ii. The AULS may consult with the TFPS chair and/or the candidate as part of their deliberations.
 - iii. The AULS shall send their recommendations to the Tenured Faculty Member, copying the TFPS chair. The Tenured Faculty Member has seven business days to respond if they so choose. In addition, following the receipt of the AULS report, the Tenured Faculty Member may request review by the University Promotion and Tenure Advisory Committee (UPTAC) by submitting a request within seven business days of receipt of the AULS report to the cognizant Office for Faculty. The UPTAC procedures are described below.

- iv. The AULS shall forward the complete TFR file to the ULS.
 - A. If an improvement plan or remediation plan is warranted and the Tenured Faculty Member does not request UPTAC review, the AULS shall send the complete file including the completed improvement plan or remediation plan. The improvement plan and remediation plan procedures are described below.
 - B. If the Tenured Faculty Member requests an UPTAC review, the UPTAC review and report shall be completed and sent to the ULS for final determination of whether an improvement plan or remediation plan is warranted. The UPTAC review procedures are described below.
- e. University Leadership Subcommittee (ULS)
 - i. Upon receipt of the complete TFR file including any applicable UPTAC findings and recommendations, improvement plans, and/or remediation plans, the ULS shall provide feedback on any included improvement plan or remediation plan as needed, conduct a review, and then report its findings and recommendations.
 - ii. The ULS may consult with the AULS and/or the TFPS chair as part of their deliberations.
- f. Finalizing a TFR
 - i. If all subcommittees have rated the Tenured Faculty Member as meeting the minimum standards for all applicable review criteria, the ULS shall send its findings and recommendations to the Tenured Faculty Member, copying the AULS and TFPS chair, after which the TFR is complete.
 - ii. If the Tenured Faculty Member has been rated by at least one subcommittee as not meeting the minimum standards in one or more applicable review criteria or has been found to not have made progress

regarding a previous improvement plan or remediation plan and the Tenured Faculty Member has not requested an UPTAC review and following development of the improvement plan or remediation plan and the subsequent ULS review, the ULS shall send its findings and recommendations to the Tenured Faculty Member, copying the AULS and TFPS chair, after which the TFR is complete.

- iii. If the Tenured Faculty Member has been rated by at least one subcommittee as not meeting the minimum standards in one or more applicable review criteria or has been found to not have made progress regarding a previous improvement plan or remediation plan and the Tenured Faculty Member requests UPTAC review, the ULS reviews the file after receiving UPTAC's report.
 - A. Following the UPTAC review, if the ULS finds that an improvement plan or remediation plan is warranted, the ULS shall send their findings and recommendations to the Tenured Faculty Member and the AULS, copying the TFPS chair. Within 30 calendar days, the AULS shall submit the improvement plan or remediation plan to the ULS for review and feedback, after which the TFR is complete.
 - B. Following the UPTAC review, if the ULS finds that an improvement plan or remediation plan is not warranted, the ULS shall send its findings and recommendations to the Tenured Faculty Member, copying the AULS and TFPS chair, after which the TFR is complete.
- g. University Promotion and Tenure Advisory Committee (UPTAC) Review
 - i. UPTAC is constituted in Policy 6-304 and shall review TFR files and make a recommendation to the ULS when a review is requested.
 - ii. Within seven business days of the receipt of the AULS findings and recommendations, the Tenured Faculty Member may request an UPTAC review if the Tenured Faculty Member disagrees with the

recommendations of the TFPS or AULS. The Tenured Faculty Member submits the request to the cognizant Office for Faculty.

- iii. When requested by the Tenured Faculty Member, UPTAC shall review the complete TFR file and (1) identify the source(s) of the difference(s), (2) determine how each subcommittee addressed the difference(s) with specific note of the evidence supporting the assessment, (3) assess the degree to which the file is sufficiently clear to support any conclusive recommendation, and (4) make a recommendation regarding whether an improvement plan or remediation plan is needed based on the applicable TFR Statement and the evidence in the file.
 - iv. UPTAC shall send its report to the Tenured Faculty Member who may respond within seven business days if they so choose. UPTAC shall then forward the complete file to the ULS.
- h. Improvement Plan Development
- i. The purpose of an improvement plan is to mentor the Tenured Faculty Member.
 - ii. An improvement plan shall be developed if the Tenured Faculty Member is underperforming as indicated by a rating of not meeting the minimum standards in one applicable review criteria.
 - iii. The improvement plan shall identify concrete goals regarding how the Tenured Faculty Member can address underperformance, describe the evidence required to show the Tenured Faculty Member has addressed the underperformance, determine a review timeline for a follow-up TFR, and identify resources and who shall provide those resources as applicable. A follow-up review timeline of a two- to three-year period is recommended, as appropriate to the concerns.

- iv. The improvement plan shall consider the specific circumstances of the Tenured Faculty Member, including any written workload agreement (redacted as needed).
- v. The TFPS chair, the Department Chair, and the Tenured Faculty Member shall collaboratively develop the improvement plan. The development of the improvement plan should be completed within 30 calendar days. The Dean shall work with the involved parties to resolve any conflicts that arise during the development of the improvement plan.
- vi. The AULS shall submit the improvement plan as part of the complete TFR file to the ULS for review (as described above).
- vii. Approximately halfway between the TFR during which an improvement plan is developed and the next scheduled TFR, the Department Chair or designee and the Tenured Faculty Member shall meet to discuss progress on the improvement plan and identify any additional resources needed, if relevant.
- viii. As part of the next TFR, each subcommittee shall include an evaluation of the Tenured Faculty Member's progress on the improvement plan and an evaluation of whether the resources identified in the improvement plan have been provided.
- ix. As determined in the next TFR, failure to address deficiencies in an improvement plan shall result in a remediation plan.
- i. Remediation Plan
 - i. The purpose of a remediation plan is to help the Tenured Faculty Member address deficiencies.
 - ii. A remediation plan shall be developed if a Tenured Faculty Member has been rated as not meeting the minimum standards in two or more applicable review criteria; or if a Tenured Faculty Member has failed to

address the underperformance identified in an improvement plan from a prior TFR review.

- iii. The remediation plan shall identify concrete goals regarding how the Tenured Faculty Member can address deficiencies, describe the evidence required to show the Tenured Faculty Member has addressed the deficiencies, determine a timeline for a follow-up TFR, and identify resources and who shall provide those resources as applicable. A follow-up review timeline of a two- to three-year period is recommended, as appropriate to the concerns.
- iv. The remediation plan shall consider the specific circumstances of the Tenured Faculty Member, including any written workload agreement (redacted as needed).
- v. The TFPS chair, the Department Chair, and the Tenured Faculty Member shall collaboratively develop the remediation plan. The development of the remediation plan should be completed within 30 calendar days. The Dean shall work with the involved parties to resolve any conflicts that arise during the development of the remediation plan.
- vi. The AULS shall submit the remediation plan as part of the complete TFR file to the ULS for review (as described above).
- vii. Approximately halfway between the TFR during which a remediation plan is developed and the next scheduled TFR, the Department Chair or designee and the Tenured Faculty Member shall meet to discuss progress on the remediation plan and identify any additional resources needed, if relevant.
- viii. As part of the next TFR, each subcommittee shall include an evaluation of the Tenured Faculty Member's progress on the remediation plan and an evaluation of whether the resources identified in the remediation plan have been provided.

- ix. Failure to address deficiencies identified in a remediation plan may result in disciplinary action including the possibility of termination under the Faculty Code (See Policy 6-316).

G. Reporting Requirements

1. By October 1 of each year, the president shall provide an annual report regarding TFRs from the prior academic year to the Utah Board of Higher Education with the information and in the format requested by the Utah Board of Higher Education.

Sections IV- VII are for user information and are not subject to the approval of the Academic Senate or the Board of Trustees. The Institutional Policy Committee, the Policy Owner, or the Policy Officer may update these sections at any time.

IV. Policies/ Rules, Procedures, Guidelines, Forms, and other Related Resources

- A. Policies/ Rules. [*reserved*]
- B. Procedures, Guidelines, and Forms.
 1. Guideline 6-321A: Extensions to the TFR Period
- C. Other Related Resources. [*reserved*]

V. References

- A. [*reserved*]

VI. Contacts

The designated contact officials for this regulation are:

- A. Policy Owner(s) (primary contact person(s) for questions and advice): Vice Provost for Faculty and Academic Affairs and Associate Vice President for Faculty, Health Sciences.

- B. Policy Officer(s): Senior Vice President for Academic Affairs and Senior Vice President for Health Sciences.

See Rule 1-001 for information about the roles and authority of policy owners and policy officers.

VII. History

Revision History.

- A. Current version. Revision 2.

1. Approved by the Academic Senate on December 2, 2024, and Board of Trustees December 17, 2024, with effective date of December 17, 2024.
2. Legislative History
3. Editorial Revisions

- B. Previous versions.

1. Revision 1. Effective date: May 17, 2024 to December 16, 2024
 - a. Legislative History for Revision 1.
2. Revision 0. Effective date: July 1, 2017 to May 16, 2024
 - a. Legislative History for Revision 0.