

COLLEGE OF MINES AND EARTH SCIENCES

Retention and Review Statement for Career-Line, Adjunct, and Visiting Faculty and Other Instructional Personnel

Approved by College of Mines and Earth Sciences Faculty: July 15, 2022

Approved by Dean: August 5, 2022

Approved by Senate Faculty Review Standards Committee on September 16, 2022 and the Senior Vice President on December 22, 2022, for implementation on January 1, 2023.

This document serves as the College of Mines and Earth Sciences' Statement of retention and review criteria, standards, evidence, and procedures for Career-Line, Adjunct, and Visiting Faculty and Other Instructional Personnel as required by University Policy. This statement along with relevant University Policies, 6-310, found at <http://regulations.utah.edu/academics/6-310.php>, 6-302, found at <http://regulations.utah.edu/academics/6-302.php>, and 6-300, found at <http://regulations.utah.edu/academics/6-300.php>, govern these processes.

The Mission of the College of Mines and Earth Sciences

- To educate and prepare professional earth scientists, geological engineers and earth science educators, meteorologists, atmospheric scientists, metallurgical engineers, mineral separation experts, and mining engineers.
- To engage in scholarly research activities in geology, geophysics, geological engineering, meteorology, physical and chemical metallurgy, mineral separation, mining engineering and new or emerging areas or disciplines relevant to Mines and Earth Sciences.
- To disseminate newly acquired knowledge through timely publication of original research by faculty and students in all of the above fields.
- To educate the University community and the public about the composition and structure of Earth, processes that shape it, and its history and future.
- To provide professional service by providing knowledge about natural resources, methods of natural resource extraction, metals extraction, safety in industrial activities and modification, geologic hazards, the environment, and a sustainable Earth.

The College values excellence in teaching, student engagement and citizenship, and impactful scholarly research that informs policy and advances our understanding of the earth and its resources in order to improve our environmental and economic security. The College strives to be a campus leader in safety, continuous assessment, diversity and inclusivity, collaboration and collegiality.

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1. Effective Date and Application to Existing Faculty

The standards and procedures contained in this Statement are effective as of date shown on page 1. All Career-Line, Adjunct, and Visiting faculty members, and other instructional personnel appointed or reappointed on or after this date, will be considered under this Statement with the exception that faculty members whose review for reappointment and/or promotion is within twelve months of the adoption of these standards shall have the option of selecting either (1) the prior review standards or (2) this new Statement. This Statement will apply unless the candidate's choice of the prior requirements is communicated to the Department Chair and Dean by signed letter before September 1 of the academic year in which the review will take place.

2. Faculty Categories, Ranks, Responsibilities, and Rights

2.1 Faculty Categories

In addition to Tenure-Line faculty, the College of Mines and Earth Sciences appoints faculty members as (1) Career-Line Faculty, which includes Clinical Faculty, Lecturers, and Research Faculty; (2) Adjunct faculty; and (3) Visiting faculty.

The faculty ranks of clinical faculty include Assistant Professor (Professional Practice), Associate Professor (Professional Practice), and Professor (Professional Practice). These Professional Practice rank titles are working titles and used in place of the equivalent University clinical faculty titles of Assistant Professor (Clinical), Associate Professor (Clinical), and Professor (Clinical).

The Lecturer category includes the following ranks: Instructor (Lecturer), Assistant Professor (Lecturer), Associate Professor (Lecturer), and Professor (Lecturer).

The research faculty category includes the following ranks: Research Instructor, Research Assistant Professor, Research Associate Professor, and Research Professor.

The College defines a long-term career-line faculty member as one who has served as a career-line faculty member for three or more years.

Adjunct faculty participate in the academic programs of the college and make a substantial contribution to the academic activities of the various academic departments in which they are appointed, but whose continuing professional activities do not span the full range of responsibilities of the tenure-line or career-line faculty members in the appointing units. Adjunct faculty ranks include Adjunct Professor, Adjunct Associate Professor, Adjunct Assistant Professor, or Adjunct Instructor.

Visiting faculty ranks include Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor.

Career-Line, Adjunct, and Visiting faculty members are formally appointed as members of the faculty of the Department, the College of Mines and Earth Sciences, and the University and serve for fixed durational terms. Appointments may be renewed for additional terms through

reappointment in accordance with University, College of Mines and Earth Sciences, and Department policies. Promotions to a higher rank are (but need not be) considered at the time of reappointment to a new term with the higher rank, and such promotions require a reappointment process. Career-Line faculty also are responsible, as designated in their contracts and expected by their home units, for service at the Department, College of Mines and Earth Sciences, University, and community levels. Department, College of Mines and Earth Sciences, and University service includes a collective responsibility to help oversee and to participate in the administration and governance of those institutions.

In addition to formal appointment to the status of member of the faculty, Career-Line, Adjunct, and Visiting faculty members are hired as an employee of the University, in a position designated as either full- or part-time, and for a designated time period which may be equal to, or less than, the duration of the faculty appointment term. An individual contract for employment, including the full- or part-time position, the durational period of employment, salary and benefits (if any) and specific individual duties, is administered by the Department, the College of Mines and Earth Sciences, and University administrative officers, with procedures separate from the faculty appointment processes described here. Career-Line faculty members are ordinarily hired as full-time employees, Adjunct faculty are ordinarily hired as part-time employees, and Visiting faculty may be hired as either part-time or full-time employees.

2.2 Responsibilities and Rights of Career-Line Faculty

All Career-Line faculty members appointed at 0.5 FTE or above have the following rights and responsibilities. Career-Line faculty appointed by special arrangement at less than 0.5 FTE will have their rights and responsibilities articulated in their contract with the university.

The department level rights and responsibilities are defined in Appendix A.

College-wide Voting Rights: College of Mines and Earth Sciences Career-line faculty are entitled to participate fully and vote in the College Council and the Department, College, and University Committees (within limits prescribed by University regulations), when elected or appointed to these committees or councils.

2.2.1 Responsibilities and Rights of Clinical Faculty

Clinical faculty members in the college are instructional faculty members whose primary professional expertise is in the professional practice context.

The responsibilities of each Clinical Faculty shall be stated in the individual letter of appointment. Clinical faculty members are primarily responsible for teaching clinical skills and other experiential learning courses. Clinical faculty members may also engage in scholarship, and may be eligible for support from the Department and the College.

The responsibilities may also include ensuring the safe, effective, and efficient operation of undergraduate instructional laboratories, as assigned by the department chair or designee. This responsibility includes ensuring the availability of supplies and properly functioning laboratory

equipment for these laboratories, ensuring the availability and functioning of laboratory safety equipment, and assisting tenure-line faculty with teaching undergraduate laboratories.

- (a) Clinical faculty members in any rank can serve on graduate student supervisory committees.
- (b) Clinical faculty members in any rank can supervise graduate students if departmental and Graduate School policies permit.
- (c) Clinical faculty are eligible to apply for college funding to enhance their professional development, and to be considered for departmental teaching and research awards if departmental policy so allows, and for college teaching awards.

Any clinical faculty member with sole responsibility for teaching or administering a course has the same autonomy as a tenure-line faculty member, including: authority over graduate and undergraduate teaching assistants who report to them, the right to select new student laboratory experiments (subject to availability of funds), and the right to select course texts.

2.2.2 Responsibilities and Rights of Lecturer Faculty

Lecturers are primarily responsible for teaching and for the development and implementation of special programs connected with their teaching and other areas of expertise. Lecturers may also engage in scholarship, and may be eligible for support from the Department and College.

The responsibilities of each Lecturer shall be stated in the individual letter of appointment and shall include:

- (a) The responsibility for lecturing in classes, as assigned by the department chair or designee.

The responsibilities, if stated in the contract, may also include:

- (b) Responsibility for ensuring the safe, effective, and efficient operation of undergraduate and graduate instructional laboratories, as assigned by the department chair or designee. This responsibility includes ensuring the availability of supplies and properly functioning laboratory equipment for these laboratories, ensuring the availability and functioning of laboratory safety equipment, and assisting tenure-line faculty with teaching undergraduate laboratories.
- (c) Other duties of instructional value in the department that are assigned by the department chair.

Any lecturer with sole responsibility for teaching or administering a course has the same autonomy as a tenure-line faculty member, including: authority over graduate and undergraduate teaching assistants who report to them, the right to select new student laboratory experiments (subject to availability of funds), and the right to select course texts.

- (a) Lecturer faculty members in any rank can serve on graduate student supervisory committees.
- (b) Lecturer faculty members in any rank can supervise graduate students if departmental and Graduate School policies permit.
- (c) Lecturer faculty are also eligible to apply for funding to enhance their professional development, and to be considered for departmental teaching awards if departmental policy so allows, and for college teaching awards.

2.2.3 Responsibilities and Rights of Research Faculty

Research faculty members are faculty members who participate in the University's academic program, and whose primary professional efforts are devoted to one or more research projects, or non-academic training projects.

Research faculty are primarily responsible for research and publication, usually in conjunction with specially funded projects, typically under supervision by or in collaboration with one or more members of the Tenure-Line faculty, Department Chair, or Dean. Research faculty also may be responsible for the development and implementation of special programs connected with their research and other areas of expertise. Research faculty may work onsite at the University, or at other locations depending on the nature and funding of the research projects. Research faculty ordinarily do not teach regular courses, but may be expected to give guest lectures, participate in other programs, or otherwise enhance the Department's and College's teaching mission as related to their research programs.

In general, the duties of research faculty shall be stated in the individual letter of appointment and may include some or all of the following:

- (a) Conducting research on projects from which their salary derives in full or in part;
- (b) Dissemination of research results through publication in professional journals, and presentation of research results at professional meetings;
- (c) Supervision of the use of and maintenance of instruments, computing facilities, and laboratories necessary for research in the department;
- (d) Participation in preparing proposals to continue, maintain, and enhance research and support of students; and
- (e) Teaching undergraduate or graduate courses if the opportunity arises, the research faculty member agrees and the department chair, in consultation with the departmental faculty, agrees that the individual is appropriate to teach a course. Compensation for instructional activities shall be paid from funds specifically meant for the support of instruction. Compensation for instructional activities shall not be borne by research grants or contracts unless the grant or contract from which the individual is being paid specifically provides for compensation for instructional activities.

- (f) Research faculty are also eligible to apply for funding to enhance their professional development, and to be considered for departmental teaching awards if departmental policy so allows, and for college teaching awards.
- (g) Research faculty members in any rank can serve on graduate student supervisory committees.
- (h) Research faculty members in any rank can supervise graduate students if departmental and Graduate School policies permit.

2.3 Responsibilities and Rights of Adjunct Faculty

Adjunct faculty are appointed primarily to teach or to co-teach one or more courses in areas of special expertise or skills, or to address temporary or permanent gaps in courses taught by Tenure-Line and Career-Line faculty, or assist in the research and other educational efforts of the department. Adjunct faculty may serve on graduate student supervisory committees.

Adjunct faculty members are not expected to serve on Department, College, or University committees, but may do so at the discretion of the Department Chair or College Dean. Adjunct faculty typically engage in community service as part of their professional lives. They are generally not permitted to attend faculty or college meetings except by the invitation of the Chair or the Dean.

Adjunct faculty and visiting faculty members are not permitted to vote on curricular or other policy matters, or on appointment or reappointment matters of faculty in any category.

2.4 Responsibilities and Rights of Visiting Faculty

Visiting faculty appointments are ordinarily for no more than three years and may be either full- or part-time. Visiting faculty typically are appointed for one or more of the following primary purposes: (1) to teach courses as needed because of sabbaticals, leaves, or vacancies in the Tenure-Line or Career-Line faculty; (2) to explore mutual interest in a permanent appointment at the appointing Department in the College in a Tenure-Line or Career-Line position; (3) to gain experience in teaching, and to engage in productive scholarship under the mentorship of experienced members of the faculty; or (4) collaborate on research or teaching projects of tenure-line or career-line faculty.

Visiting faculty members are responsible for teaching and/or scholarship as appropriate to the ranks to which they are appointed. Visiting faculty may participate on Department, College, and University committees at the discretion of the Department Chair. They are generally not permitted to attend faculty or college meetings except by the invitation of the Department Chair or the Dean, or the Chair of the committee. Visiting faculty members are not permitted to vote on curricular or other policy matters, or on appointment or reappointment matters of faculty in any category.

3. Initial Appointment, Term Length, and Mentors

3.1 Initial Appointments

Career-Line, Adjunct, and Visiting faculty members are appointed at one of four ranks: Instructor, Assistant Professor, Associate Professor, or Professor. Initial appointment is based on demonstrated achievement and the expectation of future contributions. Number of years in a relevant profession, length of prior teaching or research experience, and other significant achievements, service, awards, and contributions to their profession or field shall be considered when determining the initial term and faculty rank. The appointment duration for all ranks is generally one year unless specified otherwise by the contract or appointment letter as described in detail in section 3.3.

The minimum qualifications for appointments shall be a PhD degree in the relevant field. For all ranks of Professors of Professional Practice (clinical), this requirement may be relaxed to those with a MS Degree and extensive professional experience and expertise with the approval of the Chair, Dean, and subsequent levels of review as determined by University Regulations.

Any appointment or reappointment process shall not involve any discriminatory practice on the basis of the candidate's race, ethnicity, color, religion, national origin, age, disability, sex, sexual orientation, gender, gender identity, gender expression, pregnancy, pregnancy-related conditions, genetic information, or protected veteran status (“protected class”) as prohibited by University policy.

Presumptively, Visiting faculty who hold a faculty appointment at another institution will be appointed at the rank they hold at that institution, so long as doing so is consistent with the criteria and standards otherwise provided in this Statement.

3.2 Appointment Body

The departmental Faculty Appointments Advisory Committee (FAAC) and the Department Chair shall review and make recommendations for initial appointments, reappointments, or reappointments with promotion of any career-line faculty candidate. The FAAC and Department Chair shall follow the guidelines in Policy 6-310: Reviews of Career-line, Adjunct, and Visiting Faculty Members, and Other Instructional Personnel in making their recommendations. The FAAC will consist of tenure-line faculty members in the department. Each department may adopt a policy to include current full-time (0.75 FTE or greater), long-term (with three or more years of service) career-line faculty as voting members of the FAAC for the purposes of considering particular cases involving initial appointments, reappointments, or reappointments with promotion of any career-line faculty candidate if empowered by department policy approved by a majority of the tenure-line faculty of the department or school. (see Appendix A)

Documentation of the involvement of career-line faculty in any actions of the FAAC shall be provided as required by Policy 6-302. Whenever any career-line faculty are made members of the committee for the purpose of a particular appointment recommendation, the Department Chair shall include a description of such participation in the written report transmitted to the

Dean of the college, as provided for in Policy 6-302. No review by the College RPT committee is required for initial appointments, reappointments, and/or reappointments with promotion of any career-line faculty candidate.

The FAAC shall only vote when a two-thirds or greater quorum exists, including any proxy votes provided in advance in writing. A majority vote by the quorum is required for a positive recommendation on the appointment from the committee. Votes by the FAAC shall proceed by secret ballot.

3.3 Appointment Duration

- (a) Career-Line and Adjunct Appointments are generally for one-year. Appointments or reappointments of career-line faculty may also be made by means of a written contract for a fixed term of up to five years, when there is reasonable assurance that specific funding to support such term appointments will be available. Each term of appointment ends automatically on June 30 in the final year of the specified term. Career-Line and Adjunct faculty members appointed at the rank of Assistant Professor may serve up to a two-year term. Career-Line and Adjunct faculty members appointed at the rank of Associate Professor may serve up to a three-year term. Career-Line and Adjunct faculty members appointed at the rank of Professor may serve up to a five-year term. If not specified by the contract or appointment/reappointment letter, the appointment duration will be one year.
- (b) Visiting faculty appointments are ordinarily for no more than three years including prior appointment duration and may be either full- or part-time. Typically, Visiting Assistant Professors will be appointed for a one-year term. The appointment term can be extended to an additional two years at the discretion of Department Chair and FAAC.
- (c) Notwithstanding the above, the appointment of Career-Line and Adjunct faculty members may be ended in conjunction with formal reviews, under University policy, or if there is financial exigency or discontinuation of a program or department of instruction. The affected faculty member will be given notice as soon as possible consistent with their contract terms. Unless the contract specifies otherwise, notice must be provided at least three months in advance of the ending of the appointment if the faculty member has served at least three years continuously.
- (d) The appointment of Research, Adjunct, and Visiting faculty also may be ended if there is no longer a need for the faculty member's expertise or relevant teaching or research services in light of the teaching portfolios or expertise of other members of the faculty, or for lack of funding where such appointments are contingent on funding. The affected faculty member will be given notice as soon as possible consistent with their contract terms.
- (e) The appointment of any Career-Line, Adjunct, or Visiting faculty member may be terminated for cause under University Policy related directly and substantially to the fitness of the faculty member in their professional capacity. Termination for cause shall

not infringe on their right to exercise academic freedom or their rights as a resident or citizen of the United States.

3.4 Mentors

Until promoted to the rank of Professor, Assistant and Associate Career-Line faculty members may be assigned an appropriate mentor either in the Tenure-Line or the Career-Line.

4. Procedures for Review

Once appointed, all Career-Line, Adjunct, and Visiting Faculty will be regularly reviewed by the appointing Department in the College. This section describes the procedures for such reviews.

4.1 Informal Reviews

The Department chair shall review or designate the vice chair or a committee to review teaching or research/scholarship/creative activity for all Career-Line, Adjunct, and Visiting Faculty and other non-faculty teaching personnel *at least annually*. Any issues or problems are discussed and addressed individually, as needed. All informal reviews are included in a candidate's formal review file. If, in an informal review, a Career-Line faculty member does not demonstrate clearly adequate progress toward reappointment, an early formal review may be "triggered" by the Review Committee or the Department Chair. Such "triggered" formal review shall occur the following fall unless a majority of the Review Committee votes to proceed with the review in the current academic year. Such a review, however, must not be conducted sooner than 30 days after written notice of the review is provided to the candidate.

4.2 Formal Reviews

To ensure the continued quality performance of faculty members and make decisions about their continuation in a position or promotion to a different rank, the Department will conduct formal reviews of its Career-Line and Adjunct faculty as dictated by the length and terms of the contract provided to the faculty member. Advancement in rank for career-line, adjunct, and visiting faculty members is only by reappointment after a formal review.

4.3 Review Committee

By May 1, the Department shall formulate a Career-Line, Adjunct, and Instructional Personnel Review Committee (Review Committee) for the following academic year. The Review Committee shall be comprised of two or more members of the tenured faculty and one member of the Career-Line faculty who holds the rank of Associate Professor or Professor. These appointments to the Review Committee are made by the Department Chair. In addition, a member of the tenured faculty shall be elected as Chair of the Review Committee by majority vote of the Tenure-Line and Career-Line faculty in the Department by May 15th.

4.4 Report of Review Committee

The Review Committee is responsible for conducting formal reviews of Career-Line and Adjunct faculty and completing a report describing the findings of its review. Based on this report, the Review Committee shall recommend one of the following three actions: (1) that the candidate be reappointed and, where appropriate, promoted, (2) that the candidate be denied reappointment or, where appropriate, promotion, or (3) where there are issues that require attention, that the candidate be reappointed for a one-year contract with the opportunity to be considered for reappointment in the following year. The report of the Review Committee shall: (1) summarize the evidence considered; (2) state how the evidence considered satisfies or fails to satisfy the applicable standard(s); (3) make recommendations for rating the candidate in all applicable areas of evaluation (*e.g.*, Excellent, Effective, or Not Satisfactory in Teaching, Research, and Service [as appropriate]); and (4) give the reasons for its recommendations.

4.5 Procedures for Career-Line Faculty Formal Reviews

The Review Committee shall conduct its formal reviews of Career-Line faculty members using the following timeline and procedures:

1. By September 1 of the fall semester of the academic year for formal review, the Chair of the Review Committee shall solicit an Undergraduate Student Advisory Committee (USAC) and Graduate Student Advisory Committee (GSAC) report on the candidates who have teaching responsibilities. The USAC is a committee made up of representatives of undergraduate students in the Department. The GSAC is a committee made up of representatives of graduate students in the Department. Each Committee shall have [3+, 3+] members, elected by their peers. The SACs shall elect their own Chairs.
2. The USAC and GSAC shall meet to discuss the candidate's teaching file. Using the University's approved USAC and GSAC Report form, the USAC and GSAC shall write and submit reports evaluating the candidate's teaching achievements in accord with University Regulations and using the same standards for teaching as are listed below: excellent, effective, not satisfactory. The report must draw on at least two types of evidence (Course Feedback Forms alone are not sufficient) to support and illustrate the evaluation, articulating as specifically as possible the reasons for the evaluation. All Committee members who attend the meeting will sign the report. Such report shall be submitted to the Chair by December 1.
3. By October 1, the Chair of the Review Committee shall designate one or more members of the Career-Line faculty (of the same or higher rank than the candidate) and one or more members of the Tenure-Line faculty to conduct at least two peer teaching reviews of any candidates who have teaching responsibilities. The reviewing faculty members may include members of the Review Committee. These peer teaching evaluations of the candidate shall be submitted to the candidate's file by December 1.
4. By October 1, the Chair of the Review Committee shall request a portfolio from the candidate. The candidate shall submit that portfolio by December 1 of that year. The portfolio shall include:

- (a) A curriculum vitae;
 - (b) A personal statement, including the following as appropriate: (1) a list of courses taught; (2) a description of course load and administrative responsibilities, which includes types of courses taught, student enrollment, student contact hours, and the types of student assessment for the courses; (3) a statement of teaching objectives and philosophy; (4) a description of research accomplishments, including any grant submissions and funding as well as publications; and (5) clinical practice and opportunities summary;
 - (c) All publications during the review period;
 - (d) Any prior written informal evaluations or reports from the Review Committee since appointment or last formal review;
 - (e) Any other materials the candidate deems relevant, such as course materials, simulations, presentations, research supervision and mentoring of students, and evidence of pro bono or other work or activities that serve to enhance the Department's local, regional, national, or international reputation.
5. By October 1, the Chair of the Review Committee shall assure that all teaching evaluations and recent syllabi for the candidate are placed in the candidate's file.
 6. By October 1, the Department Chair/Director shall assure that letters of administrative reprimand and the latest findings, decisions, or recommendations from University committees or officials arising from relevant concerns about the faculty member are placed in the candidate's file.
 7. By December 1, the Chair of the Review Committee shall solicit comments about the candidate from other members of the Department.
 8. The Chair of the Review Committee shall circulate the candidate's portfolio to the Review Committee members, who shall read the complete file.
 9. The Chair of the Review Committee shall assign a Review Committee member to prepare a draft of the Review Committee Report. The draft report shall be completed by February 1, and the Review Committee shall confer about the report and vote on its approval by February 10.
 10. The Chair of the Review Committee shall expeditiously transmit the report to the candidate following its approval by the Review Committee. Upon receipt of the report, the candidate shall have five (5) business days to make a written comment on any item in their file, or to indicate the candidate is waiving such right. The candidate has the right to review all contents in their file, except for any confidential letters of evaluation solicited from outside the Department.
 11. By March 1, the Chair of the Review Committee shall circulate a copy of the report to the FAAC and make the candidate's file available for review. Thereafter, but no later

than March 15, the FAAC shall meet and discuss the recommendations and by a majority secret ballot vote make a final recommendation to the Department Chair on the candidate's reappointment and, if applicable, promotion. The Chair of the FAAC will appoint a secretary at the meeting to take notes and add required information to the FAAC report with regards to the meeting.

12. The candidate shall receive a copy of the report and vote at the time they are forwarded to the Department Chair.
13. The Department Chair shall receive the entire file, make their independent recommendation, and forward the file to the Dean of the College for approval. The Dean will review and make their independent recommendations. Before forwarding the file, the Department Chair shall give the candidate a copy of their recommendation. The candidate has the right to make a written response to the Department Chair's letter and/or the Review Committee Report and faculty vote within five business days of receiving the Department Chair's letter.
14. The Department Chair shall notify the candidate of the decision no later than April 1 of the academic year for review.

4.6 Procedures for Adjunct Faculty Formal Reviews

The Review Committee shall conduct its review of Adjunct faculty members using the following timeline and procedures:

- (a) By January 15 of the academic year for review, the Chair of the Review Committee and the Department Chair shall confer and create a list of adjunct faculty members with expiring terms whose reappointment will be sought.
- (b) By March 1, the Review Committee shall prepare, approve, and circulate a report to the FAAC describing which adjunct faculty members it recommends for reappointment and, where applicable, promotion. The report shall summarize teaching, research, and/or service evaluations as appropriate of all adjunct faculty members addressed in the report, and attach current resumes of each adjunct faculty member to the report.
- (c) The Review Committee shall request a vote from the FAAC on the reappointment or reappointment with promotion of all adjunct faculty nominated for reappointment or reappointment with promotion. Unless the FAAC determines a need for a live meeting, the vote will be conducted by email. If the Review Committee determines the need for a live meeting, it shall make all reasonable efforts to schedule the meeting in conjunction with any Career-Line review meeting being held. If a live meeting is held, minutes will be kept. Whether the vote is live or by email, it shall be conducted by secret ballot.
- (d) The Chair of the FAAC shall expeditiously forward the results of the votes to the Department Chair and the College Dean for any necessary further action.

5. Review Guidelines

A faculty member's stature is based on an assessment of achievements in the area of faculty responsibility and the three functions of faculty members, as those functions are relevant to that faculty member's appointment: (1) teaching, (2) service, and (3) research/creative activity.

Summary ratings of performance in these three areas as relevant to the faculty member's appointment serve as the standards for review, reappointment, and promotion. University Policy identifies a three-level scale of standards: excellent, effective, and not satisfactory. The same criteria and standards apply to both formal and informal reviews. Evaluations of candidates are based on the evidence provided regarding a candidate's research/creative activity, teaching, and service and are described in subsequent sections.

University Policy allows a candidate's conduct as a responsible member of the faculty to be taken into consideration during a review. As a result, one's failure to abide by the Faculty Code or any other rules or policies of the University may be considered in determining whether one will be retained, reappointed, or promoted.

5.1 Review Standards and Criteria

5.1.1 Evaluation of Teaching

Within the University system, the term *teaching* refers to regularly scheduled instruction, curriculum and program development, directing undergraduate and/or graduate student work, and counseling and advising of students in general. There are therefore four components of teaching: (1) course instruction, (2) curriculum and program development, (3) student advising and mentoring, (4) and other professional achievements related to teaching.

1) Course instruction

Course instruction encompasses (a) didactic classroom instruction; (b) online and distance education teaching; (c) the organization and facilitation of seminars and workshops that are related to curriculum needs; and (d) independent instruction involving one or more students on special topics. Standards for judging achievements of a Lecturer as a teacher will be the same as those adopted for teaching by tenure-line faculty in each department, as relevant to their assigned areas of responsibility. Specific sources of information to evaluate the candidate's course instruction shall include: (a) the candidate's statement of teaching philosophy as found in their personal statement; (b) peer review of the candidate's syllabi, assignments, and other teaching materials; and (c) information from Course Feedback Forms. Other information about teaching, including, for example, peer observation of the candidate's course instruction, seminars, workshops, and other public presentations, a teaching portfolio, teaching awards, or any evaluation of the candidate's teaching done by personnel from the University's Center for Teaching Excellence (CTE) or by the Student Advisory Committee (SAC) shall also be included.

2) Curriculum and program development

Academic programs require significant investments of faculty time in ongoing curriculum/program development and maintenance. The contributions of a candidate to such efforts, beyond regular teaching assignments, may therefore be considered as part of contributions in the area of teaching. Examples of these kinds of contributions include the development and teaching of new and/or novel undergraduate or graduate courses, development and/or employment of novel teaching methods; obtaining grants from internal or external sources to enhance teaching at the University; and the publication of textbooks or other teaching materials.

3) Student advising and mentoring

Work with undergraduate and graduate students outside of the classroom is also an important component of teaching. Activities of primary importance in this area include (1) general student advising and mentoring; (2) chairing and serving on graduate student committees; and (3) including students in research and as co-authors in scholarly work. Contributions in this area are evaluated with respect to both quantity and quality.

4) Other professional achievements related to teaching and service to the University

These include special honors or awards earned by the faculty member; and participation in workshops or conferences devoted principally to enhancing teaching effectiveness. Other Professional achievements that would be considered include contributions in research and related recognitions or awards but research work is not required of Lecturers.

5) Summary Rating Scale for Teaching

Ratings on the three-point scale below reflect the joint consideration of the three components of teaching described above.

Excellent: The candidate has made substantial, sustained contributions in areas of course instruction, curriculum/program development, student advising and mentoring, and other professional achievements related to teaching.

Effective: The candidate has made acceptable, sustained contributions in teaching. The candidate shows sufficient progress in the areas of course instruction, curriculum/program development, student advising and mentoring, and other professional achievements related to teaching to suggest that the eventual contributions in these areas will be significant.

Not Satisfactory: The candidate has made insufficient contributions in teaching.

5.1.2 Evaluation of Service

Evaluations are made with respect to three areas of service: (1) professional service, (2) University service, and (3) public service. It is not necessary for a candidate to participate equally in all three service areas. Differing participation in the three service areas typically reflects the strengths and interests of individual faculty members. While service contributions

may not be required, any significant service contributions to the Department and University will be considered in the review.

1) Professional Service

This refers primarily to professional participation at a national or international level. Service in this category can be oriented toward national professional organizations and include such activities as holding offices; participating in the organization or operation of conferences; attending professional meetings; serving as chair, discussant, or reviewer for presentations at professional meetings; serving on various professional committees, panels, or boards (e.g., accreditation boards); and presenting professional workshops. Significant professional service contributions can also include serving as editor, associate editor, editorial review board member, or regular reviewer for scholarly or professional journals.

2) University Service

This category refers to service within the University, including at the levels of the Department, College, and overall institution. A candidate's shared-governance activities, including chairing and/or serving on standing or ad hoc committees, councils, and task forces, or serving in administrative positions, at any of these levels, represent valuable University service contributions.

3) Public Service

This category includes service related to the candidate's area of expertise in various local, regional, national, and international public settings and can take many forms, e.g., serving on boards and committees for governmental and/or non-profit organizations, consulting with and/or providing direct service to community agencies as appropriate within University guidelines, giving public talks, or participating in public outreach events.

4) Summary Rating Scale for Service

Ratings on the three-point scale below reflect the joint consideration of service contributions in the three areas described above.

Excellent: The candidate has made substantial, sustained contributions to the profession, the University, and/or the public.

Effective: The candidate has made acceptable, sustained contributions in service commensurate with the expectations for their position. The candidate shows sufficient commitment to service in at least one area, suggesting that the eventual contributions of the candidate will be significant.

Not Satisfactory: The candidate has made insufficient contributions in service relative to the expectations for their position.

5.1.3 Evaluation of Research

Judgments about a candidate's research are based on both the quality and quantity of research and its relevance to the academic community and the Department's needs. The characteristics of productive research, however, differ depending on the candidate's area(s) of specialization and professional goals and the Department's needs for research in a given area. Description of Research Activity

We expect candidates to contribute significantly and distinctly to the development and dissemination of new knowledge through research and publication of research results. The following will be considered in evaluating a candidate's research activities, dissemination of research results, and impact.

- Quality and regularity of original research publications in professional journals and conference proceedings according to accepted publishing patterns in the candidate's own research area. The prestige of the journals and conferences and the quality, as well as number of publications, will be considered.
- Publication of research monographs, book chapters, and book reviews.
- Presentations at conferences, workshops, colloquia or seminars. Keynote, plenary, and invited talks will be noted.
- Patents issued and software licensed or otherwise distributed.
- Providing technical and scientific support for the operation and development of research facilities.
- Performing research administration such as project management
- Impact of consulting related to a candidate's expertise.
- Timely, ethical and responsible conduct of research and research administration responsibilities; and any contributions to broader impacts or interdisciplinary research.
- Other professional achievements related to research such as: special honors or awards earned by the faculty member; development and initiation of new research directions; special recognition of a publication emanating from research; obtaining grants from internal or external sources to enhance research at the University; participation in workshops or conferences devoted principally to research in the faculty member's area of expertise, and teaching undergraduate or graduate courses in the faculty member's area of expertise. Other professional achievements that would be considered, include contributions to teaching and any related honors and awards but teaching is not required of research faculty.

1) Research Funding

Acquiring funding to support research is valued by the University, the College and the departments and is necessary to sustain the research mission of the university. A candidate must therefore demonstrate that they have either acquired funding or helped the supervising

faculty acquire funding that will help sustain the candidate's research program or that the candidate has made significant efforts to obtain or help obtain such funding and will continue to do so.

2) Summary Rating Scale for Research

Ratings on the three-point scale below reflect the joint consideration of quantity and quality of research as described above.

Excellent: The candidate has made substantial, sustained contributions in one or more topic areas of research. The quality and quantity of research reflect a coherent agenda in at least one topic area.

Effective: The candidate has made acceptable, sustained contributions in one or more topic areas of research. The quality and quantity of research reflect a coherent agenda of work and suggest that significant contributions will be made over time.

Not Satisfactory: The candidate has made insufficient contributions in research/creative activity.

5.2 Review Standards for Career-Line Faculty

Two different sets of standards apply to the review of Career-Line faculty, depending on the faculty member's appointment category. One set of standards applies to Clinical faculty and Lecturers, whose primary responsibilities are teaching and service. The other set of standards applies to Research faculty, whose primary responsibilities are research and service.

5.2.1 Review Standards for Clinical Faculty and Lecturers

- (a) To be reappointed at the rank of Instructor, a Clinical faculty member or Lecturer must demonstrate that they are (1) at least Effective in teaching and (2) if the candidate's responsibilities include service, at least Effective in service.
- (b) To be promoted to or reappointed at the rank of Assistant Professor, a Clinical faculty member or Lecturer must demonstrate (1) Sustained Effectiveness in teaching or that they have made substantial progress towards Sustained Effectiveness in teaching and (2) if the candidate's responsibilities include service, at least Effective in service.
- (c) To be promoted to or reappointed at the rank of Associate Professor, a Clinical faculty member or Lecturer must demonstrate that they are (1) Excellent in teaching, or that they have made substantial progress toward becoming Excellent in teaching, and (2) if the candidate's responsibilities include service, at least Effective in service.
- (d) To be promoted to or reappointed at the rank of Professor, a Clinical faculty member or Lecturer must achieve ratings of (1) Sustained Excellence in teaching and (2) if the candidate's responsibilities include service, at least Sustained Effectiveness in service.

- (e) Clinical faculty members and Lecturers are not expected to engage in research and published scholarship. However, the College and the Department encourage and support Clinical faculty and Lecturers who wish to engage in scholarship. For those who do engage in scholarship, such activities may be considered in reappointment and promotion decisions.

5.2.2 Review Standards for Research Faculty

- (a) To be reappointed, a Research faculty member must demonstrate that they are (1) at least Effective in research; (2) if the faculty member teaches, at least Effective in teaching; and (3) if the candidate's responsibilities include service, at least Effective in service.
- (b) To be promoted to the rank of Associate Professor, a Research faculty member must demonstrate that they are (1) Excellent in research; (2) if the faculty member teaches, at least Effective in teaching; and (3) if the candidate's responsibilities include service, at least Effective in service.
- (c) To be promoted to the rank of Professor, a Research faculty member must achieve ratings of (1) show sustained excellence in research, (2) if the faculty member teaches, Sustained Effectiveness in teaching, and (3) if the candidate's responsibilities include service, are at least Sustained Effectiveness in service.

5.2.3 Review Standards for Adjunct Faculty

- (a) Review process and review standards for Adjunct faculty on Unpaid Appointment are outlined in Appendix B.
- (b) To be reappointed as an Instructor, an Adjunct faculty member must demonstrate that they are at least Effective in contributing to the teaching, research or service mission of the department, and enhancing the stature of the department.
- (c) To be promoted to or reappointed at the rank of Assistant Professor, an Adjunct faculty member must demonstrate Sustained Effectiveness or that they have made substantial progress towards Sustained Effectiveness in contributing to the teaching, research or service mission of the department, and enhancing the stature of the department.
- (d) To be promoted to or reappointed at the rank of Associate Professor, an Adjunct faculty member must demonstrate that they are Excellent in contributing to the teaching, research, or service mission of the department, and enhancing the stature of the department.
- (e) To be promoted to or reappointed at the rank of Professor, an Adjunct faculty member must demonstrate sustained excellence in contributing to the teaching, research, or service mission of the department, and enhancing the stature of the department.

5.2.4 Review Standards for Visiting Faculty

- (a) As their appointments are by definition temporary, Visiting faculty typically do not undergo formal reviews. Visiting faculty who are subsequently considered for a permanent position will be reviewed in conjunction with the regular faculty appointment process.
- (b) If a Visiting faculty member is appointed for longer than a year, the Department will review their teaching evaluations or research as appropriate at the end of each year and consult with the faculty member if any issues warrant attention. If, at any time, the Department Chair and the College Dean agree that a visiting faculty member is not Effective in teaching, they may terminate the appointment.
- (c) If the faculty member has served fewer than three years and is being considered for reappointment, to be reappointed, a Visiting faculty member must demonstrate that they are (1) at least Effective in teaching, or (2) at least Effective in research, and (3) at least Effective in service.

6. Non-Faculty Instructional and Research Personnel

Non-faculty instructional and research personnel do not hold faculty appointments but teach credit-bearing courses or participate in research within the departments in the College of Mines and Earth Sciences. They include associate instructors, research associates, graduate students, and postdoctoral fellows who may be the instructors of record. Non-faculty instructional and research personnel do not have voting rights and are not expected to serve on committees.

Non-faculty instructional and research personnel shall undergo a formal review every academic year of service at the University. To be reappointed, a non-faculty instructional or research personnel undergoing formal review must demonstrate that they are at least Effective in teaching and/or at least Effective in research, whichever is applicable, using the same standards that define Effective teaching and Effective research for Career-Line faculty within the Department.

The Review Committee shall conduct its review of non-faculty instructional personnel using the following timeline and procedures:

- 1) By January 15 of the academic year for review, the Chair of the Review Committee and the Department Chair shall confer and create a list of non-faculty instructional and research personnel for whom a formal review is required.
- 2) By January 30 of the academic year for review, the Department chair will provide to the Review committee the course feedback form or research performance evaluation by the responsible PI of personnel being reviewed. The persons being reviewed will provide to the review committee a current resume/CV and any other supporting document that they consider relevant.

- 3) By March 1, the Review Committee shall prepare, approve, and circulate a report to the Department Chair describing its findings on all reviewed non-faculty instructional and research personnel. The report shall explain how the committee gathered information for the review, including steps taken to collect information from the personnel being reviewed. The report shall also summarize all teaching or other evaluations of all personnel reviewed, and attach current resumes/CVs of each such individual to the report.
- 4) The Department Chair shall consider and take into account the Review Committee's report when determining whether to appoint the instructional personnel to teach courses or conduct research in the subsequent academic year.

The appointment of non-faculty instructional or research personnel also may be ended if there is no longer a need for the personnel's expertise or relevant teaching or research services in light of the teaching portfolios or expertise of other members of the faculty, or for lack of funding where such appointments are contingent on funding. The affected person will be given notice as soon as possible.

The appointment of any non-faculty instructional or research personnel may be terminated for cause under University Policy related directly and substantially to the fitness of the person in their professional capacity. Termination for cause shall not infringe on their right to exercise academic freedom or their rights as a citizen or resident of the United States.

Appendix A: Supplemental Departmental Career-line and Adjunct Faculty Rights & Responsibilities

The following departmental policies supplement the College Career-line faculty policies articulated above. These policies are consistent with the college policies. In these supplemental policy statements, Long-term Career-line Faculty are those with three or more years of service as defined in the main document.

1. Department of Geology and Geophysics
 - a) A career-line faculty member in any rank may attend faculty meetings when matters relating to their unique area(s) of professional responsibility are considered and can participate and vote on those departmental matters.
 - b) Long-term career-line faculty may serve as members of the FAAC and vote on appointment, reappointment, and promotion of any career-line faculty candidate of their rank or lower.
2. Department of Materials Science and Engineering
 - a) A career-line faculty member in any rank may participate but not vote in the setting of departmental procedures relating to their unique area(s) of professional responsibility.
 - b) Career-line faculty may attend faculty meetings when matters relating to their unique area(s) of professional responsibility are considered.
 - c) Long-term career-line faculty may serve as voting members of the FAAC for the purposes of considering cases involving initial appointments, reappointments, or reappointments with promotion of any career-line faculty candidate of the same rank or lower.
3. Department of Atmospheric Science
 - a) Career-line faculty may attend faculty meetings when matters relating to their unique area(s) of professional responsibility are considered but cannot vote in the processes of setting departmental policy in those matters.
 - b) Career-line faculty may attend faculty meetings when matters relating to their unique area(s) of professional responsibility are considered.
 - c) Long-term career-line faculty can serve as voting members of the FAAC for the purposes of considering cases involving initial appointments, reappointments, or reappointments with promotion of any career-line faculty candidate of the same rank or lower.

4. Department of Mining Engineering

- a) Career-line, adjunct, and visiting faculty members, and other instructional personnel are not permitted to vote in the process of setting departmental procedures.
- b) Career-line faculty may attend faculty meetings when matters relating to their unique area(s) of professional responsibility are considered.
- c) Long-term career-line faculty may serve as voting members of the FAAC for the purposes of considering cases involving initial appointments, reappointments, or reappointments with promotion of any career-line faculty candidate of the same rank or lower.

Appendix B: Review Process and Standards for Unpaid Adjunct Faculty

By January 5 of the academic year for review, the Chair of the Review Committee or the Department Chair shall request from the candidate for reappointment or reappointment with promotion an updated curriculum vitae and a statement describing the candidate's contributions to teaching, research, or service related to the mission of the department during the year(s) of review and any other factor that is deemed relevant in contributing to the mission of the department or enhancing the reputation of the department.

The Chair of the Review Committee shall circulate the candidate's updated curriculum vitae and statement to the Review Committee members by Jan 15th, who shall read the submitted documents.

The Chair of the Review Committee shall assign a Review Committee member to prepare a draft of a Review Committee Report regarding all Unpaid Adjunct Faculty candidates for appointment or reappointment.

The draft report shall be completed by February 1, and the Review Committee shall confer and vote regarding the reappointment and promotion of the adjunct faculty member by February 10.

By March 1, the Review Committee shall prepare, approve, and circulate a report to the FAAC describing which adjunct faculty members it recommends for reappointment and, where applicable, promotion in rank.

Review Standards for Unpaid Adjunct Faculty

- (a) To be reappointed as an Instructor, an Adjunct faculty member must demonstrate that they are at least Effective in contributing to the teaching, research or service mission of the department, and enhancing the stature of the department.
- (b) To be promoted to or reappointed the rank of Assistant Professor, an Adjunct faculty member must demonstrate that they are at least Effective in contributing to the teaching, research or service mission of the department, and enhancing the stature of the department.
- (c) To be promoted to or reappointed at the rank of Associate Professor, an Adjunct faculty member must demonstrate that they are Excellent in contributing to the teaching, research, or service mission of the department, and enhancing the stature of the department.
- (d) To be promoted to or reappointed at the rank of Professor, an Adjunct faculty member must demonstrate sustained excellence in contributing to the teaching, research, or service mission of the department, and enhancing the stature of the department.

Appendix C: Notices of Final Approval of Statement

Review Committee Approval:

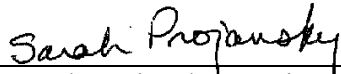


Trina Rich, SFRSC Committee Secretary

September 16, 2022

Date

Senior Vice President Approval:



Sarah Projansky, Designee

December 22, 2022

Date