INTRODUCTION

Pursuant to policies defined in Chapter IV and V of Faculty Regulations, and Chapter VI of University Regulations, the following guidelines and criteria serve as a basis for making recommendations for appointments, retention, promotion, and tenure for faculty within the School of Social Work. The document is in compliance with University policies and procedures. (See www Admin.utah.edu/ppmanual/9/9/-5-1.HTML ). It has been tailored to the specific needs and administrative structure of the College of Social Work.

The mission of the College of Social Work is to shape social institutions policies, services, and interventions to prevent and alleviate human suffering, enhance individual, family, community, and global well-being, and to promote social and economic justice. The College also supports the greater mission of the University of Utah to educate the individual and to discover, refine, and disseminate knowledge. In keeping with our joint missions, the College of Social Work strives for excellence in teaching, research, and university and community service.

GENERAL CRITERIA FOR CONSIDERATION IN MAKING RECOMMENDATIONS FOR APPOINTMENTS, RETENTION, AND PROMOTION OF AUXILIARY FACULTY IN THE COLLEGE OF SOCIAL WORK (Under review)

These policies and procedures are pursuant to Policy 6-310 regarding the appointment reappointment, and evaluation of auxiliary faculty and other instructional personnel.

A. Purpose To ensure the high quality of College of Social Work faculty who are engaged in teaching and research and who are not members of the regular faculty by establishing standards for systematic review and evaluation.

These policies and procedures for auxiliary faculty are congruent with policies and procedures established under Sections I through III of the CSW Guidelines for Retention, Promotion and Tenure of regular faculty. Wherever relevant, performance criteria and measures mirror those established for regular faculty except that auxiliary faculty are not eligible for tenure.

The CSW employs 5 of the 7 categories established for auxiliary faculty as mandated by University Policy 6-302: Lecturer, Research, Adjunct, Clinical (Unpaid) and Visiting. Pursuant to Policies 6-303 and 6-310, criteria and measures for evaluating performance for the purposes of appointment, reappointment, and promotion in Assistant Professor, Associate Professor, and Professor ranks are detailed in the ensuing sections.

B. The Auxiliary Review Committee.

A five person Auxiliary Review Committee (ARC) is elected from the ranks of the
auxiliary faculty for a two year term. The College Dean appoints a sixth person who shall be the Chairperson of the Committee. The purpose of the ARC is to coordinate and review auxiliary faculty appointments, reappointments, and promotions. In addition to ensuring that auxiliary faculty meet College and University performance standards related to scholarship, teaching, and service, a central purpose of the ARC is to provide auxiliary faculty with guidance and direction in improving and enhancing their performance.

The ARC is advisory to the College Retention, Promotion, and Tenure Committee (RPT Committee) and the College Dean.

The Chair of the ARC must be a Research or Lecturer Professor and is appointed by the College Dean.

Application for nomination to the auxiliary faculty may be made to the ARC. In the case of non-clinical faculty the application is reviewed by the Committee and the College Dean, typically, to determine if there is a need for the faculty and funds are available. Once the initial review is complete the ARC forwards the application to the RPT Committee for review and their recommendation to the College Dean. The College Dean makes the final decision.

In the case of clinical (unpaid) faculty the nominee applies to the Practicum Office. The Practicum Office may then forward the application to the ARC with an accompanying memorandum stating that the nominee is in good standing with the Practicum Office. The ARC forwards the nomination to the RPT Committee with their recommendation. The RPT Committee then forwards to the College Dean with their recommendation. The College Dean makes the final decision.

The ARC may recommend one or multiple year appointments, up to 5 year appointments.

All Auxiliary faculty are reviewed annually. Faculty with multiple year appointments are formally reviewed every 5 years or when triggered by a request for promotion.

Promotion in rank is an acknowledgement by the College and University of excellence, superior, and sustained performance in teaching, scholarship, and service.

Auxiliary faculty are not eligible for tenure.

1. **Informal reviews.**

   All Auxiliary faculty are annually evaluated by the ARC. The ARC forwards their recommendations to the RPT Committee. The RPT Committee is advisory to the College Dean who makes the reappointment.

   The candidate’s file must contain at minimum: 1) a current C.V., 2) course evaluations or published materials, as relevant to the auxiliary category. A format for standardizing the C.V. is provided as Appendix.

2. **Formal reviews.**

   Formal Reviews are mandated for multiple year appointments and take place in the 5th year or when triggered by a request for promotion.
The candidate’s file must contain at minimum, 1) a current C.V., 2) course evaluations, 3) letters from colleagues and other interested persons from within the College, University, and Community, 4) letters from colleagues and interested others outside the University for which a form is provided by the University and mailed by the College Dean, 5) a student SAC report for auxiliary faculty who teach, 6) examples of course development materials (Lecturer Faculty) or research/scholarly studies, reports, publications (Research Faculty)

3. General Criteria

For the Appointment, Reappointment, and Promotion of Auxiliary Faculty

These criteria are foundation standards for the employment, reappointment, evaluation, and promotion of auxiliary faculty across the five categories used by the College of Social Work. All auxiliary faculty, regardless of the specific category in which they are employed, are expected to subscribe to and adhere to the following criteria. Primary values for appointing auxiliary faculty emphasize experience, professional conduct, and excellence and sustained achievement in performance of academic responsibilities.

1. Auxiliary faculty are appointed as assistant professors except when significant experience merits appointment at a higher rank.
   All auxiliary faculty must possess an MSW or compatible Master’s degree at the time of appointment

2. All auxiliary faculty must present and maintain a current C.V inclusive of previous evaluations and reviews, course evaluations and course related materials, if applicable and for a period of time rather than for the period immediately preceding the review; written statements from colleagues and peers both on and off campus providing a record of their accomplishments

3. All auxiliary faculty must have at least two years of post-Master’s experience and show evidence of their potential for growth as a member of the faculty. For example, continuing education classes or degrees obtained; professional education workshops completed; enrollment in advanced degree programs.

4. For consideration for promotion to Associate Professor in addition to the above prospective candidates must have at least 5 years of experience in the rank of assistant professor and demonstrate marked progress toward achieving excellence as a faculty member.

5. For consideration for promotion to Professor in addition to above prospective candidates must have at least 5 years in the Associate rank and demonstrate superior/sustained performance in scholarship, teaching, and service. “excellence”, “superior”/“sustained” are defined in the Framework timetable, Appendix...

6. Auxiliary faculty are entitled to see their file except for confidential letters solicited outside the College when this right is waived by the candidate.

7. A candidate’s written responses to material in the file must be added before the College RPT meeting is held.

8. Responsible Conduct. Pursuant to University Policy 6-303-III-A-2 for all faculty, College of Social Work faculty and students specifically adhere to values and behaviors contained in The Code of Conduct of
the National Association of Social Workers (NASW). The provisions of the NASW Code require specific behaviors regarding relationships with colleagues and peers, with clients, and with respect to societal institutions. For example, social workers are expected to show respect for clients and colleagues, respect self-determination in establishing and conducting the helping relationship, and practice confidentiality. Licensing Boards, NASW review committees, and the CSW Student Review Committee, monitor and enforce social worker conduct with respect to these guidelines. Faculty and students affiliated with the CSW are expected to adhere to the professional Code of Ethics and values. [attach Appendix of NASW Code?]

9. Auxiliary faculty are often involved with administrative responsibilities. Where applicable, administrative tasks and responsibilities constitute one component of their evaluations.

C. Criteria for the Appointment, Reappointment, and Promotion of Auxiliary Lecturer faculty.

Rationale

Lecturer faculty are full-time auxiliary faculty whose primary purpose is teaching. A central purpose of the CSW is teaching in classroom as well as in practicum settings. The purpose of this teaching is to instill students with knowledge, values, and skills appropriate to professional social work practice as well as to inspire students with a desire to learn, an openness to learning, an inquisitive approach to understanding social phenomena and behavior and a commitment to scientific evidence in support of practice.

The criteria in this section are designed for purposes of evaluation and are such that elements of each lower category are included in each ascending category. Candidates are expected to meet all of the criteria for the rank under consideration and to maintain their performance on criteria related to lower ranks. Of the three areas in which faculty are evaluated—scholarship, teaching, and service—in the case of lecturer faculty greatest weight is given to teaching performance.

Teaching Performance

Assistant Professor

1. Curriculum Vita indicating qualifications for teaching in social work
2. MSW Degree or related Master’s degree in another field

Associate Professor

1. Satisfactory performance as Assistant Professor
2. 5 years experience in social work or related practice areas
3. Progress toward achieving excellence in teaching
4. Satisfactory performance in research, service, and administrative responsibilities where applicable
5. Engagement with curriculum materials development
6. Recognition as a social worker and/or social work educator at local level.
7. Candidates personal statement
8. Participation in conferences and workshops

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, Student SAC reports and Practicum Evaluations, input from alumni, peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees

Professor

1. 5 years experience in rank of Associate Professor
2. Superior/sustained performance in teaching
3. Excellence in research, service, administration, where applicable
4. Contributions to the profession at national and international levels

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni, peer evaluations. Student SAC reports and Practicum Evaluations

Scholarly Performance/ Research

Scholarly productivity is an optional component of evaluation for Lecturer faculty whose primary role is teaching. As such scholarly products are reviewed favorably but are not essential to reappointment or advancement in rank

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni, peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees

University, Professional, and Community Service

Assistant Professor

Evidence of service engagement to be present in C.V at time of appointment


Associate Professor

1. Continued engagement with Community Boards, Committees, Organizations
2. Membership on CSW Committees in the BSW, MSW, and PHD programs
3. Membership on student project and theses committees
4. Membership on University Committees

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni, peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees

Professor

1. Leadership on community, College, and University committees
2. Mentorship on student project and theses committees and/or chair of
3. Leadership in national and international social work organizations

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni, peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees

Administration

Assistant Professor

Evidence of administrative experience in supervision, management, and consultation in C.V.

Associate Professor

1. 5 years experience as supervisor, manager, or consultant in social work settings at Assistant Professor rank
2. Excellence in advancement in capacity as supervisor, manager or consultant

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni,
peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees

Professor

1. 5 years experience as supervisor, manager, or consultant in social work settings at Associate Professor R
2. Sustained superiority in advancement in capacity as supervisor, manager, consultant

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni, peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees

D. Criteria for the Appointment, Reappointment, and Promotion of Auxiliary Research Faculty

Rationale

Research Auxiliary Faculty are full time faculty whose primary purpose is to engage in, design, conduct, and report research studies and findings. Social work practitioners are expected to design and implement clinical, direct services, and policy level interventions grounded in empiricism and evidence. Research faculty help to develop these bodies of knowledge as well as teach students the values and methods of research practice.

The criteria in this section are designed for purposes of evaluation and are such that elements of each lower category are included in each ascending category. Candidates are expected to meet all of the criteria for the rank under consideration and to maintain their performance on criteria related to lower ranks. Of the three areas in which faculty are evaluated—scholarship, teaching, and service—in the case of research faculty greatest weight is given to research performance.

Scholarship and Research Performance

Assistant Professor

1. C.V. indicating qualifications for research and teaching in social work
2. MSW or Master's Degree plus two years post Master's experience indicating proclivity for research scholarship, such as courses taken, projects completed, personal goals statement.

Associate Professor

1. Five years experience as Assistant Professor
2. Progress in accomplishing excellence in research and scholarship
3. Evidence of an established focus of inquiry
4. Satisfactory progress in teaching, if applicable
Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni, peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees.

Decisive weight will be given to evidence of scholarship through publications, grants, presentations, working papers; service as a principle investigator or co-principle investigator of a grant; participation in research projects.

Professor

1. Five years experience as an Associate Professor
2. Superior/sustained performance as a researcher/scholar
3. Leadership in service activities
4. Involvement with social welfare policy at national/international levels.

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni, peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees.

Decisive weight will be given to evidence of scholarship through publications, grants, presentations, working papers; service as a principle investigator or co-principle investigator of a grant; participation in research projects.

Teaching Performance

Assistant Professor

Evidence of teaching ability/potential in C.V. at time of appointment such as prior experience, teaching assistantships or adjunct service, workshops or educational training experiences.

Associate Professor

1. Five years in Assistant Professor rank
2. Excellence in teaching, where courses have been taught

Professor

Sustained/superior performance in teaching where courses have been taught.

The following measures may be used but are not limited to evidence for evaluating
teaching performance.

University, Professional and Community Service

Assistant Professor

Evidence of involvement with and engagement in community organizations in C.V. at time of appointment.

Associate Professor

1. Five years in Assistant Professor rank
2. Leadership in community organizations at local levels
3. Membership in University and College Committees

Professor

1. Five years in Associate Professor rank
2. Sustained leadership in community organizations.
3. Leadership in University and College Committees
4. Recognition of contributions to social work practice and education at national/international levels.

Administration

Assistant Professor

Evidence of potential for administration in C.V. at time of appointment

Associate Professor

1. Five years in Assistant Professor rank
2. Excellence in performing administrative tasks and responsibilities

Professor

1. Five years in Associate Professor rank
2. Superior/sustained performance in carrying out administrative tasks and responsibilities

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni, peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees.

In addition, internal evaluations acknowledging superior/sustained performance as an administrator is required.
E. Criteria for the Appointment, Reappointment, and Promotion of Auxiliary Adjunct Faculty

Rationale

Adjunct faculty are part-time faculty who are employed full time other than in the CSW. Their backgrounds and expertise as social work practitioners is an invaluable component of the CSW educational experience. These faculty teach discrete courses in the College, usually one, not more than two, courses in a semester. Their syllabi follow the master syllabi developed by the CSW Curriculum Advisory Committee and the College Council.

The criteria in this section are designed for purposes of evaluation and are such that elements of each lower category are included in each ascending category. Candidates are expected to meet all of the criteria for the rank under consideration and to maintain their performance on criteria related to lower ranks. Of the three areas in which faculty are evaluated—scholarship, teaching, and service—in the case of adjunct faculty exclusive weight is given to teaching performance.

Teaching Performance

Assistant Professor

1. Evidence of teaching competence, experience, and potential in C.V. at time of appointment.
2. MSW Degree for the teaching of practice courses; or, other relevant Master’s
3. Two years of post Master’s experience.

Associate Professor

1. Five years experience as Assistant Professor
2. Excellence in teaching performance

Professor

1. Five years experience as Associate Professor
2. Superior/Sustained teaching performance.

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni, peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees.

In the case of adjunct faculty reappointment and promotion decisive weight will be given to teaching performance in all categories of rank.

F. Criteria for the Appointment, Reappointment, and Promotion of Auxiliary Clinical
(Unpaid) Faculty

Rationale

Clinical (Unpaid) faculty are part time faculty whose primary responsibility is for teaching and supervision in the field. The CSW curriculum is grounded in field practicum (internship) education. Students spend at least forty percent of their educational experience in agencies and organizations that deliver social welfare services, including clinical, direct services, administration and policy practice. In order to accomplish this purpose, social work education employs the services of agency personnel who volunteer to act as internship supervisors and manage the hands on education of our students. These faculty, though unpaid, are a crucial component of social work education. They participate in faculty workshops and evaluations conducted by on campus faculty.

The criteria in this section are designed for purposes of evaluation and are such that elements of each lower category are included in each ascending category. Candidates are expected to meet all of the criteria for the rank under consideration and to maintain their performance on criteria related to lower ranks. Of the three areas in which faculty are evaluated—scholarship, teaching, and service.

In the case of clinical faculty exclusive weight is given to supervision performance.

Teaching/Supervision Performance

Assistant Professor

1. MSW Degree
2. Minimum of two years of post Master’s professional social work experience
3. Licensed as Licensed Clinical Social Worker (LCSW)
4. Potential for Field Instruction supervision as indicated in C.V.

Associate Professor

1. Four years as Field Faculty Instructor for the CSW
2. Excellence in practicum supervision and instruction, teaching, and community service as evaluated by the Field Practicum Office
3. Current C.V. indicating additional experience in social work supervision and practice
4. Letters recognizing excellence in practicum supervision from students, colleagues.

Professor

1. Five years as Field Faculty Instructor for the CSW
2. Superior/Sustained Performance related to leadership in Field Instruction, teaching, and service to community;
3. Superior/sustained performance in supervision as evaluated by the Field Practicum Office

Evidence for evaluating these criteria include but are not limited to: honors and awards, course evaluations, workshop and conference presentations, letters from students and colleagues acknowledging recognition, scholarly publications, student advisement activities, number of courses taught
and the number of different courses taught, example of student work attributable to the quality of teaching—including student awards, student exit interviews, input from alumni, peer evaluations; attainment of advanced degrees and continuing education, membership on student theses committees.

G. Criteria for the Appointment, Reappointment, and Promotion of Visiting Faculty

Rationale

Visiting faculty are faculty who are invited to teach at the CSW—usually for one or two semesters. They are typically faculty with a great deal of experience and expertise, and typically possess national and/ or international stature.

Any member of the faculty can make nominations for Visiting Faculty. The College RPT Committee reviews these nominations. The College Dean takes final action. In the case of visiting faculty the greatest weight in determining their appointment is given to their credentials and reputation as social work educators, practitioners, or researchers.

Visiting faculty are accorded rank equivalent to that which they already possess. In the case of Visiting Faculty who serve for more than one year there is no formal reappointment process since reappointment occurs at the pleasure of the College Dean upon recommendation of the College RPT Committee.

V. APPOINTMENTS AND REVIEW PROCEDURES

The appointment and review procedures adopted by the College of Social Work are based on procedures outlined in Chapter V of Faculty Regulations in the University of Utah’s Policy and Procedures Manual.

1. APPOINTMENTS, RETENTION, PROMOTION, AND TENURE ADVISORY COMMITTEES IN THE COLLEGE OF SOCIAL WORK

A. Committee Membership

1. Appointments - All regular full- and part-time faculty members who hold a rank equal to or higher than the rank proposed for a candidate for appointment constitute the Appointments Advisory Committee. (Faculty holding adjunct, clinical, or other auxiliary ranks do not participate in appointments, retention, promotion or tenure reviews.)

2. Retention - All tenured faculty members of equal or higher rank and all non-tenured regular faculty members of higher rank than that held by the candidate for retention are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of retention

3. Promotions - All regular 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, except when a recommendation for promotion is also a recommendation to grant tenure. When a recommendation for promotion is also a recommendation to grant tenure, all tenured 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 the recommendation. Tenured
professors may vote for promotions of equal or lower rank but may not vote on requests for tenure.

4. **Tenure** - All tenured faculty members of equal or higher rank and all non-tenured regular faculty members of higher rank than that proposed for the candidate for tenure are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of tenure.

**B. Chairperson**

The Chair-Elect of the RPT Committee is elected annually by members of the RPT Committee from the ranks of Full Professor in the College. The Chair-elect serves as record keeper during RPT meetings, and helps the Chair implement RPT procedures. When the Chair completes his/her term, the Chair-elect becomes Chair for a one-year term and a new Chair-elect is chosen. If the Chair-elect from the previous term is unable to serve as Chair a new Chair will be elected. The Dean and associate deans are not eligible to chair these committees. However, the Dean shall convene and chair the Appointments Advisory Committee.

**C. Quorum**

A quorum of the advisory committee for any given case shall consist of two-thirds of its members eligible to vote, except that any member unable to attend the meeting because of formal leave of absence or physical disability shall not be counted in determining the number required for a quorum.

**D. Absentee Voting.**

Whenever practical, the Dean shall advise all members on leave or otherwise absent of the proposed action and shall request their written opinions and votes. Absent members’ written opinions shall be disclosed at the meeting and their votes will be listed separately but recorded in the total tally. The report of the committee shall indicate the number of absentee ballots cast.

Voting.

Voting shall be by secret ballot.

Limitations.

The Dean may attend and should, upon invitation by majority vote of the committee, submit evidence, judgments, and opinions, or participate in discussion, but shall otherwise abstain from participation. By majority vote, the committee may move to executive session, from which non-voting participants may be excluded. The Dean shall not vote at the committee level.

2. **ACTION BY APPOINTMENTS, RETENTION, PROMOTION, AND TENURE ADVISORY COMMITTEE**

A. Auxiliary faculty and other instructional personnel

1. A designation of adjunct, visiting, lecturer, or research shall precede the rank awarded to any person for whom a position is not seen as permanent and/or continuous.
2. Clinical rank designation shall be used for appointment of persons whose primary allegiance and salary source are with agencies or organizations outside the university. Appointments and recommendations for promotion for clinical faculty for practicum positions shall be initiated by the Practicum Committee.

3. No formal agreement for appointment shall be entered into by administration prior to consideration of the appointment by the committee, except for special circumstances related to visiting professors.

B. Retention, Promotion, and Tenure. The Dean shall convene the Retention, Promotion, and Tenure Advisory Committee annually to consider retention, the possible award of tenure, and possible promotions in rank for non-tenured tenure-track faculty members, inclusive of promotions to full professor.

1. The retention consideration given each year to non-tenured faculty members may be either informal or formal, except that formal consideration is required for a recommendation for termination, and formal consideration will be given to all non-tenured tenure-track faculty members in their third probationary year, and to instructors, and assistant professors in their fifth probationary year. Exceptions to this schedule may be granted at the request of the candidate with approval of the Dean.

2. Informal considerations resulting in a recommendation for retention may be completed without special inquiry or documentation. Formal consideration for retention, promotion, or tenure requires thorough examination and documentation of the candidate’s academic competence and performance in accordance with the pertinent criteria, and in conformance with the prescribed procedures.

1. Informal Review. Informal reviews are scheduled annually, except for the third and the fifth of the probationary period or for triggered reviews. All tenured faculty members of the College RPT committee participate in the informal review. During each informal review, candidates will provide materials to the RPT Committee to measure their progress in teaching, research, and university and community service. A written report will be given to the candidate from the RPT chair identifying areas of strength and concern that the RPT Committee has regarding their progress toward promotion and tenure.

The main purpose of the informal review is to assist the candidate during the probationary period and to better prepare them for promotion and tenure.

1. Only the chair is present in a post review meeting with the candidate in order to provide the candidate with an oral overview of the RPT Committees discussion of strengths and areas for improvement.

2. The RPT Committee chair prepares a written report which must be reviewed and signed by every member of the committee.

3. The final report is sent to the college dean with a final recommendation. The Deans letter to the Vice President is copied to the RPT Committee Chair and the candidate.
4. In the event of the chair's absence, the Dean appoints a chair designee from the list of senior faculty available according to those placing 2nd, 3rd, so forth, in the RPT committee vote for the chair.

5. The attached timetables reflect the procedures for reviews. The candidate provides specified materials and the College arranges for external reviewers.

2. **Formal Reviews** Formal reviews take place in the third and fifth years of the probationary period or when triggered by a request for tenure or promotion. Formal reviews may also be triggered for termination and at the candidates request with the recommendation of the Dean and the approval of the Senior Vice President.

3. Candidates for promotion or tenure may be nominated by the administration, by self, by other faculty, or by students. Candidates may decline consideration for other than mandated reviews.

C. **Notice to Faculty and Student Advisory Committee.** Each candidate for retention, promotion, or tenure shall be given at least three weeks advance notice of the meeting and an opportunity to submit any information the candidate desires the committee to consider. The faculty member being reviewed may elect that letters of recommendation or evaluation solicited from individuals outside the department be solicited on a confidential or a non-confidential basis. Respondents shall be informed in writing that their letters may be seen by the faculty member.

In the spring semester proceeding formal review the SAC committee solicits student input utilizing materials of their own design. This data is entered into the candidate file along with an explanation on how the input was solicited and who participated in this process.

D. **The Dean** shall invite interested faculty and staff members to submit written recommendations with respect to each candidate under consideration. These recommendations will be included in the candidate's RPT file.

E. **The Student Advisory Committee (SAC)** shall prepare a report for the formal review of each candidate in accordance with University policy and ASUU guidelines. The SAC shall be given at least three weeks to prepare its recommendations, but upon failure to report after such notification and attempts by the Dean 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.

F. **Materials.** All candidate RPT files will be kept in the Dean's office. RPT members are asked to come to the Dean's office to review the candidate file.

G. **Committee Secretary.** A secretary of each meeting shall be designated by the chairperson of the Retention, Promotion, or Tenure Advisory Committee and shall take notes of the discussion to provide the basis for developing a consensus summary.

H. **Informal and Formal Reviews.** A member of the committee shall be chosen to review the candidate's file and to make an oral presentation of the file to the committee. Discussion
will be focused on the RPT guidelines, and material in the file. The RPT Chairperson is the only committee member authorized to discuss these proceedings with the candidate following the meeting. The Dean meets with the candidate in a separate meeting. All discussions with the candidate are confidential.

I. Committee Report. After due consideration (a vote shall be taken on each candidate) of each candidate’s file, ballots specific to each candidate will be distributed to committee members. In those cases where candidates are reviewed for retention during their first year of employment, numerical rankings will not be solicited. In addition to this evaluation, committee members will be asked to vote in three separate votes regarding their recommendations for retention, promotion, or tenure. In the case of informal reviews, committee members will indicate whether the candidate is making satisfactory progress in the areas of teaching, scholarship, and service. The secretary shall make a record of the vote and shall prepare a (consensus) summary, which shall include the substance of the discussion and also the findings relative to the criteria and recommendations of the advisory committee. During an inspection period of not less than two days, all faculty members participating in the committee meeting will initial a form indicating they have reviewed the candidate’s written report. Suggestions for modifications and additions will be included in the final report. The chairperson shall then forward the signed summary report to the Dean and the candidate, along with a list of all faculty members present at the meeting. The candidate will be given the opportunity to respond to content in the report prior to preparation of the Dean’s recommendation. Candidates will be expected to respond within 10 working days of receiving the report.

J. The committee report will include a summary of the committee’s deliberations regarding the criteria for retention, promotion, and/or tenure as they relate to each candidate’s review. In order to present a history of progress as each candidate’s file is reviewed, the chairperson will prepare a summary of previous reviews, including SAC reports and committee voting. With these date, faculty’s current votes will reflect their evaluation of each candidate’s performance and progress relevant to prior years according to expectations for rank and number of years in rank. Overall progress is as significant as change in any given year.

3. ACTION BY THE DEAN

A. After studying the entire file relating to each candidate, the Dean shall prepare a written recommendation to be included in the file on retention, promotion, or tenure of each candidate, including specific reasons for the recommendation, based on the school’s criteria for retention, promotion, and tenure reviews.

B. Prior to forwarding the file, the Dean shall send an exact copy of his/her recommendation, along with a statement of reasons, to each faculty member concerned.

C. Candidate’s Right to Respond. The candidate shall have the opportunity at this time, but not obligation, to add a written statement to his/her formal review file in response to the summary report of the school faculty advisory committee and/or the evaluation of the Dean. 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 Dean within seven days, excepting 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 review file without comment by the Dean.

D. The Dean shall forward the entire file for each individual to the Vice President of Academic Affairs.

4. FURTHER ACTION BY THE VICE PRESIDENT, PRESIDENT, AND THE RIGHTS OF THE CANDIDATE IN RELATION TO THOSE ACTIONS ARE FOUND IN PPM 9-5.1 CHAPTER V, SECTION 2, H THROUGH J, WHICH ARE ATTACHED TO THIS DOCUMENT AS APPENDIX B.
**Appendix A**

Minimum University Requirements for the Review of Tenured and Tenure Track Faculty: College of Social Work

<table>
<thead>
<tr>
<th>Type</th>
<th>Informal Retention Annual</th>
<th>Formal Retention—Triggered</th>
<th>Formal Retention—Mid Probationary</th>
<th>Formal—End of Probation</th>
<th>Tenure</th>
<th>Promotion To Associate Professor</th>
<th>Promotion to Full Professor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Involved Parties</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>yes</td>
</tr>
<tr>
<td>1. External Reviewers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>2. Academic Program, if Appropriate</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. SAC</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>yes</td>
</tr>
<tr>
<td>4. College RPT</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>yes</td>
</tr>
<tr>
<td>5. Dean</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>yes</td>
</tr>
<tr>
<td>Candidate Includes in File (Minimum Requirements)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Curriculum Vitae</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>yes</td>
</tr>
<tr>
<td>College includes in File</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. SAC Report(s)</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>yes</td>
</tr>
<tr>
<td>2. External Letters (outside of College)</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>yes</td>
</tr>
<tr>
<td>3. Past Reviews and Recommendations</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>yes</td>
</tr>
<tr>
<td>4. Academic Program Report if Appropriate</td>
<td></td>
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</tr>
<tr>
<td>5. Comments from Others</td>
<td>No</td>
<td>Optional</td>
<td>Optional</td>
<td>Optional</td>
<td>Optional</td>
<td>Optional</td>
<td>Optional</td>
</tr>
<tr>
<td>6. Student Course Evaluations</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>yes</td>
</tr>
</tbody>
</table>
## Appendix B
Framework for evaluation Auxiliary Faculty and other Instructional Personnel
College of Social Work, University of Utah (3-2009)

<table>
<thead>
<tr>
<th>Lecturer Faculty (Primary focus, teaching)</th>
<th>Research Faculty</th>
<th>Adjunct Faculty (Part-time Teaching)</th>
<th>Clinical Faculty Unpaid field faculty</th>
<th>Visiting Faculty (Research &amp; Teaching)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Position requirements</strong></td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>1) CV indicating qualification for teaching in SW</td>
<td>1) CV indicating qualification for research &amp; teaching in SW</td>
<td>1) MSW degree for teaching of practice courses or, other relevant Master's degree, plus 2 yrs of post Master's professional experience.</td>
<td>1) MSW Degree</td>
<td>1) MSW Degree or other relevant Master's or PhD degree.</td>
</tr>
<tr>
<td>2) MSW degree, or related Masters Degree, plus 2 yrs post Master's experience</td>
<td>2) MSW degree plus 2 yrs post Master's experience</td>
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</tr>
<tr>
<td>3) Appointment of College Dean upon recommendation of Auxiliary Faculty Review Committee</td>
<td>3) Appointment of College Research RPT Committee upon recommendation of Auxiliary Faculty Review Committee</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Performance Standard &amp; Procedure for annual reappointment</strong></td>
<td>Reappointment annually by College Dean upon recommendation of Auxiliary Faculty Review Committee</td>
<td>Reappointment annually by College Dean upon recommendation of Auxiliary Faculty Review Committee</td>
<td>Reappointment annually by College Dean upon recommendation of Auxiliary Faculty Review Committee</td>
<td>Terms of Appointment &amp; Appointment by College Dean</td>
</tr>
<tr>
<td>Minimal standard requires compliance with terms of appointment.</td>
<td>Minimal standard requires compliance with terms of appointment.</td>
<td>Current CV indicating experience related to teaching &amp; SW experience</td>
<td>Satisfactory completion of annual contract &amp; as evaluated by the Field Practicum Office</td>
<td>Current CV indicating experience related to teaching &amp; SW experience</td>
</tr>
<tr>
<td>Performance Standards &amp; Procedures for Major Review Standards (minimum)</td>
<td>Lecturer Faculty (Primary focus, teaching)</td>
<td>Research Faculty</td>
<td>Adjunct Faculty (Part-time Teaching)</td>
<td>Clinical Faculty (Unpaid field faculty)</td>
</tr>
<tr>
<td>---</td>
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<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Candidates file contains: 1) Current CV 2) Letters of recommendation from colleagues &amp; other interested persons within the university. 3) Letters of recommendation from colleagues &amp; other interested persons outside the university for which a form is provided &amp; mailed by the Dean 4) Student course evaluations 5) SAC report</td>
<td>Candidates file contains: 1) Current CV 2) Letters of recommendation from colleagues &amp; other interested persons within the university. 3) Letters of recommendation from colleagues &amp; other interested persons outside the university for which a form is provided &amp; mailed by the Dean 4) Student course evaluations 5) SAC report</td>
<td>Not Applicable</td>
<td>Not Applicable</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>Formal Reviews</td>
<td>1) Every 5 years or when triggered by a request for promotion 2) Acted upon by the College RPT Committee &amp; the College Dean.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Position</td>
<td>Criteria</td>
<td>Measures</td>
<td></td>
<td></td>
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<tr>
<td>-------------------------------</td>
<td>--------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------</td>
<td></td>
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</tr>
</tbody>
</table>
| Assistant Professor (Primary focus, teaching) | 1. Students course evaluations committees  
2. Membership on student development committees  
3. Curriculum & materials development  
4. Engagement in research knowledge through workshops, conferences  
5. Evidence of Collaborative work | 1) Students course evaluations committees  
2) Membership on student development committees  
3) Curriculum & materials development  
4) Engagement in research knowledge through workshops, conferences  
5) Evidence of Collaborative work |
| Research Faculty (Part-time Teaching) | 1. Letters recognizing excellence in practicum supervision for colleagues, students  
2. Practicum evaluations | 1) Letters recognizing excellence in practicum supervision for colleagues, students  
2) Practicum evaluations |
| Adjunct Faculty (Part-time Teaching) | Same as for lecturer and Research Faculty, in all ranks except that formal multi-year reviews are not applicable | 1) Four years as Field faculty instructor for the CSW program  
2) Excellence in practicum supervision & community service |
| Clinical Faculty (Unpaid field faculty) | Same as for lecturer and Research Faculty, in all ranks except that formal multi-year reviews are not applicable | 1) Four years as Field faculty instructor for the CSW program  
2) Excellence in practicum supervision & community service |
| Visiting Faculty (Research & Teaching) | Same as for lecturer and Research Faculty, in all ranks except that formal multi-year reviews are not applicable | 1) Four years as Field faculty instructor for the CSW program  
2) Excellence in practicum supervision & community service |

Continued:

<table>
<thead>
<tr>
<th>Procedures for Major Review</th>
<th>Performance Standards &amp; Criteria</th>
</tr>
</thead>
</table>
| 1. Two years post-master's degree in related field  
2. Evidence of knowledge, skills, potential for growth in professional, administrative, research, teaching and service. | 1. Students course evaluations committees  
2. Membership on student development committees  
3. Curriculum & materials development  
4. Engagement in research knowledge through workshops, conferences  
5. Evidence of Collaborative work |
<table>
<thead>
<tr>
<th>Lecturer Faculty (Primary focus, teaching)</th>
<th>Research Faculty</th>
<th>Adjunct Faculty (Part-time Teaching)</th>
<th>Clinical Faculty (Unpaid field faculty)</th>
<th>Visiting Faculty (Research &amp; Teaching)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Associate Professor Criteria</strong></td>
<td></td>
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<td></td>
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</tr>
</tbody>
</table>
| 1) Five yrs experience in SW or related practice areas.  
2) Progress toward achieving excellence in teaching  
3) Satisfactory performance in research, service and administrative responsibilities where applicable  
4) Satisfactory progress in research if applicable | 1) Five years experience in SW or related practice areas  
2) Progress in accomplishing excellence in research and scholarship  
3) Evidence of an established focus of inquiry  
4) Satisfactory progress in teaching if applicable | 1) Minimum 5 years teaching at the CSW  
2) Average or better student evaluations for previous 5 year period | 1) Three years as field faculty instructor for the CSW  
2) Excellence in practicum supervision and instruction, teaching, and community service. |
| **Measures**                             |                 |                                     |                                         |                                     |
| 1) Student Course evaluations  
2) Examples of curriculum and materials development  
3) Letters from students & Colleagues recognizing contributions  
4) Honors & awards  
5) Candidates personal statement  
6) Involvement with research projects  
7) Contributions to conferences & workshops | 1) Student course evaluations if applicable  
2) Evidence of scholarship through publications, grants, presentations, working papers  
3) Letters of reference addressing candidates productivity as a researcher  
4) Serves as principle or co-principle investigator of a grant  
5) Participation in research projects  
6) Leadership on student committees, & university & community committees  
7) Leadership in professional organizations. | 1) Student course evaluations  
2) Letters from colleagues, students & others recognized as knowledgeable about teaching effectiveness  
3) SAC report | 1) Faculty evaluation forms  
2) Letters for colleagues, students, other recognized as knowledgeable about accomplishments of clinical faculty |
<table>
<thead>
<tr>
<th>Lecturer Faculty (Primary focus, teaching)</th>
<th>Research Faculty</th>
<th>Adjunct Faculty (Part-time Teaching)</th>
<th>Clinical Faculty (Unpaid field faculty)</th>
<th>Visiting Faculty (Research &amp; Teaching)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Continued:</strong> Performance Standards &amp; Procedures for Major Review</td>
<td>1) Five years experience in rank of associate professor 2) Superior performance in teaching 3) Excellence in research, service, and administration where applicable 4) Contribution to the profession at local, national, international levels</td>
<td>1) Five years experience in rank of associate professor 2) Superior performance as researcher, scholar 3) Sustained excellence in teaching activities where applicable. 4) Demonstrates sustained leadership in service activities 5) Involvement with social work policy at national levels.</td>
<td>1) Minimum of teaching eight years at the CSW 2) Excellent student evaluations for the previous five years 3) SAC report</td>
<td>1) Five years as clinical field instructor 2) Superior performance related to leadership in clinical instruction, course work, and community</td>
</tr>
<tr>
<td><strong>Professor Criteria</strong></td>
<td></td>
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</tr>
<tr>
<td><strong>Measures</strong></td>
<td></td>
<td>1) Presentation, development of workshops &amp;/or in service training programs 2) Attainments of advanced degrees &amp; continuing education 3) Sustained record of participation in research and grant related projects 4) Letters from colleagues regarding national &amp; international recognition 5) Chair of student thesis committees or research projects.</td>
<td>1) Presentation, development of workshops &amp;/or in service training programs 2) Attainments of advanced degrees &amp; continuing education 3) Sustained record of participation in research and grant related projects 4) Letters from colleagues regarding national &amp; international recognition 5) Chair of student thesis committees or research projects.</td>
<td>1) Practicum evaluations 2) Letters of recommendation recognizing superior performance in leadership positions related to clinical instruction &amp; community activities.</td>
</tr>
</tbody>
</table>
NOTES:

1) The Auxiliary Review Committee is elected from within the ranks of Auxiliary Faculty by the Auxiliary Faculty. The College Dean appoints the chair of the Committee. The Committee meets at least twice yearly: once to name reappointments and consider promotion and once to name new faculty. Faculty names are forwarded to the College Dean for final action in the case of reappointments of all Auxiliary Faculty. Auxiliary faculty recommendations for promotion are forwarded to the College RPT Committee for consideration of promotions in the Lecturer and Research Auxiliary faculty ranks. The College Dean Acts on the recommendation of the RPT Committee in these cases.

2) Definition of “excellence”: Performance demonstrates consistent accomplishment of what is required and initiative exceeding most expectations.

3) Definition of “superior”: Performance demonstrates sustained and exceptional accomplishment that exceeds expectations

4) Definition of “satisfactory”: Performance complies with standards set forth at time of appointment.