**Preparation Notes.** *Prep-Notes guide Colleges and their departments while drafting or revising a Career-line, Adjunct, Visiting, and Other Instructional Personnel Statement (CAV Statement). The cognizant Office for Faculty will delete these Notes after the Senate Faculty Review Standards Committee (SFRSC) and the cognizant Senior Vice President (SVP) have approved the Statement.*

**Prep-Note 1.** *[Yellow highlighting] indicates where a college must or may (as indicated) fill in information specific to that unit. [Green highlighting] indicates where a college must choose between the options provided.*

**Prep-Note 2.** *A college should not change Template text, except where [yellow highlighting] indicates otherwise. If a college makes other changes, the SFRSC or SVP may return the Statement to the College for further revision. Recommendations for improvements in the Template are welcome, however, and may be incorporated into a subsequent Template revision.*

**Prep-Note 3.** *Because Policy* [*6-310*](https://regulations.utah.edu/academics/6-310.php) *requires a College/School-level statement (“unless there are widely varying circumstances within the college”), and because colleges are more common than schools, this Template refers to the “College.” For such colleges, simply leave the term “College” intact. For a unit that is a school, the various references to “College”" should be changed to “School.” In addition, because the Department is the relevant unit that uses these CAV procedures, the Template refers to the academic unit as "Department." For a single-department college or school or a college with one or more schools or divisions, the various references to “Department” and “Department Chair” should be changed accordingly (i.e., “Department” to “College” or “School”; “Department” to “Department/School” or “Department/Division”; and “Department Chair” to “Dean” or “Department Chair” to “Chair/Director,” and so on. Alternatively, units may choose to use a version of this sentence: “This College has departments, schools, and divisions; for efficiency, all references to the “department” applies equally to the schools and divisions”).*

**Prep-Note 4.** *Because Policy* [*6-310*](https://regulations.utah.edu/academics/6-310.php) *envisions the establishment and maintenance of CAV statements at the college level, an optional Appendix B is included for departments within a multi-departmental college to supplement the Template as needed to meet department-specific standards.*

**University of Utah**

**College of \_\_\_**

**Appointment, Review, Reappointment, and Promotion Statement for**

**Career-Line, Adjunct, and Visiting Faculty**

**[, and Other Instructional Personnel]**

Approved by [College Council or College Faculty]: [Date]

Approved by College Dean: [Date]

Approved by Senate Faculty Review Standards Committee: [Date]

Approved by cognizant Senior Vice President on [Date], to become **effective on [January/July] 1, [Year].**

# Preface

This document is the College’s Statement of appointment, review, reappointment, and promotion criteria, standards, evidence, and procedures for Career-Line, Adjunct, and Visiting Faculty, [and Other Instructional Personnel], as required by University Policy. All committees or individuals making any recommendation or decision in these proceedings shall do so consistent with the governing University Regulations and the substantive criteria, standards, and evidence set forth in this Statement. The primary relevant University Regulations are Policies [6-300](https://regulations.utah.edu/academics/6-300.php), [6-302](https://regulations.utah.edu/academics/6-302.php), [6-309](https://regulations.utah.edu/academics/6-309.php), and [6-310](https://regulations.utah.edu/academics/6-310.php).

Career-Line, Adjunct, and Visiting (CAV) Faculty are a critical part of the intellectual fabric of the University of Utah. As part of our community of teachers, researchers, and clinicians, CAV Faculty make important contributions to the teaching, research/creative activity, clinical, and/or service missions of the University and the College.

**Prep-Note 5*.*** *Word software generates the TOC automatically, based on embedded code. Ordinarily, a college will not need to modify headings. If an additional sub-section is truly necessary, please maintain the first-level (and ideally second-level) heading and insert a new sub-section with the appropriate Word TOC heading code.*

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# Effective Date and Application to Existing Faculty

This Statement is applicable as of the effective date shown on page 1. All Career-Line, Adjunct, and Visiting Faculty, [and other instructional personnel] appointed or reappointed on or after the effective date will be reviewed under this Statement. If a faculty member was appointed or reappointed prior to the effective date and a review for reappointment and/or promotion is scheduled to occur within twelve months following the effective date, the faculty member may elect to have the review conducted under either (1) the prior Statement or (2) this new Statement. This Statement will apply automatically unless the faculty member’s choice of the prior Statement is communicated to the Department Chair and College Dean by signed letter before the review begins.

# Faculty Categories, Ranks, and Employment Contracts

Career-line, Adjunct, and Visiting faculty members participate in the University's academic mission and make a substantial contribution to the academic activities of their academic unit. Their professional activities, however, do not span the full range of responsibilities of Tenure-line faculty members. Additionally, Adjunct faculty members’ professional activities do not span the full range of responsibilities of Career-line faculty members, and Visiting faculty members’ contributions are temporary, by definition.

Faculty members may be appointed to Career-line, Adjunct, or Visiting positions as the University and appointing units determine appropriate, in light of the University's need to retain flexibility to adjust its programs to meet changing needs and to employ faculty with more specialized foci.

## Career-Line Categories

Career-Line faculty members are appointed in one of three categories: (1) Lecturer, (2) Research, or (3) Clinical.

## Ranks

Career-line, Adjunct, and Visiting Faculty are appointed to one of four ranks: Instructor, Assistant Professor, Associate Professor, or Professor, modified by the designation of Lecturer, Research, Clinical, Adjunct, or Visiting.

## Employment

Appointment to the faculty as Career-line, Adjunct, or Visiting makes the faculty member eligible for employment, but does not guarantee employment.

Once appointed as a faculty member, a Career-Line, Adjunct, or Visiting faculty member may then be hired by contract as an employee of the University. The faculty member’s full-time equivalency (FTE) and terms are stipulated in the employment contract for a designated time-period that may be equal to or less than the duration of the accompanying faculty appointment. Department and University administrative officers determine all aspects of the faculty member’s employment contract, including period of employment, salary, benefits, and the faculty member’s specific duties.

Career-Line faculty members are typically hired as full-time employees, Adjunct faculty are typically hired as part-time employees, and Visiting faculty may be hired as either part-time or full-time employees.

# Faculty Rights and Responsibilities

All Career-line, Adjunct, and Visiting faculty members have the rights and responsibilities described in the Code of Faculty Rights and Responsibilities (Policy [6-316](https://regulations.utah.edu/academics/6-316.php)). In this College, each faculty category has additional rights and responsibilities as described below.

**Prep-Note 6.** *If the College specifies the same voting rights for all career-line faculty categories, the title of section 3.1 should be changed to Career-Line Faculty, sections 3.2 and 3.3 should be deleted, and the numbering of section 3.4 should be changed to section 3.2.*

**Prep-Note 7.** *If the College does not use one or more of the lecturer, research, clinical, adjunct, or visiting categories, those categories should be deleted below, and section numbering should be adjusted.*

## 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. Expectations and support for teaching and (if relevant) research and service activities shall be stipulated in the employment contract.

Lecturers are entitled to participate fully on Department, College, and University Committees (within limits prescribed by University regulations), in College Council[, and at faculty meetings].

**Prep-Note 8.** *Here, the College should provide additional departmental-level voting rights of Lecturers—this Template provides some options for convenience. If lecturers have different rights in different departments, a college should use* [*Appendix B*](#_Appendix_B:_Department) *of this Template to articulate those differences. This Template strongly recommends that lecturers in all departments within a college have the same rights, and the Template strongly recommends Option A below.*

OPTION A: Lecturers are entitled to vote on all Department and College matters except (1) appointment, retention, tenure, and promotion of Tenure-Line faculty; (2) appointment and reappointment of career-line faculty above their rank; and (3) promotion of Career-Line Faculty to ranks above their rank.

OPTION B: Lecturers are entitled to vote on all College matters and Department faculty appointment, reappointment, and promotion matters, except (1) appointment, retention, tenure, and promotion of Tenure-Line faculty; (2) appointment and reappointment of career-line faculty above their rank; and (3) promotion of Career-Line Faculty to ranks above their rank. They are not entitled to vote on curricular or other departmental matters.

OPTION C: Lecturers are entitled to vote on appointment, reappointment, and promotion matters of Career-Line faculty of their rank or lower. They are not entitled to vote on appointment, reappointment, retention, tenure, or promotion matters of any other faculty categories, nor are they entitled to vote on curricular or other departmental matters.

OPTION D: Lecturers are entitled to vote on departmental curricular and other matters. They are not entitled to vote on appointment, reappointment, retention, tenure, or promotion matters of any faculty category.

OPTION E: A college may choose to add the following phrase at the beginning of any of the above options: [After serving for [#, 1+] years as a career-line faculty member,]

## Research Faculty

Research faculty members are primarily responsible for research and peer-reviewed dissemination of that research, usually in conjunction with funded projects, typically under supervision by or in collaboration with [one or more members of the Tenure-Line faculty] OR [the Department Chair and/or College administrator]. Research faculty members also may be responsible for the development and implementation of special programs connected to their research and other areas of expertise. Research faculty members ordinarily do not teach regular courses but, as stipulated in the employment contract, may be expected to give guest lectures, participate in other programs, or otherwise enhance the Department teaching mission as related to their research programs. Expectations and support for research/creative and (if relevant) teaching and service activities shall be stipulated in the employment contract.

Research faculty members are entitled to participate fully on Department, College, and University Committees (within limits prescribed by University regulations), in College Council[, and at faculty meetings].

**Prep-Note 9.** *Here, the College should provide additional departmental-level voting rights of Research Faculty—we provide some options for convenience. If research faculty members have different rights in different departments, a college should use* [*Appendix B*](#_Appendix_B:_) *of this Template to articulate those differences. This Template strongly recommends that research faculty members in all departments within a college have the same rights, and the Template strongly recommends Option A below.*

OPTION A: Research faculty members are entitled to vote on all Department and College matters except (1) appointment, retention, tenure, and promotion of Tenure-Line faculty; (2) appointment and reappointment of career-line faculty above their rank; and (3) promotion of Career-Line Faculty to ranks above their rank.

OPTION B: Research faculty members are entitled to vote on all College matters and Department faculty appointment, reappointment, and promotion matters, except (1) appointment, retention, tenure, and promotion of Tenure-Line faculty; (2) appointment and reappointment of career-line faculty above their rank; and (3) promotion of Career-Line Faculty to ranks above their rank. They are not entitled to vote on curricular or other departmental matters.

OPTION C: Research faculty members are entitled to vote on appointment, reappointment, and promotion matters of Career-Line faculty of their rank or lower. They are not entitled to vote on appointment, reappointment, retention, tenure, or promotion matters of any other faculty categories, nor are they entitled to vote on curricular or other departmental matters.

OPTION D: Research faculty members are entitled to vote on departmental curricular and other matters. They are not entitled to vote on faculty appointment, reappointment, retention, tenure, or promotion matters.

OPTION E: A college may choose to add the following phrase at the beginning of any of the above options: [After serving for [#, 1+] years as a career-line faculty member,]

## Clinical Faculty

Clinical faculty members are primarily responsible for teaching clinical and professional skills, as well as other experiential learning courses. Expectations and support for clinical work and (if relevant) teaching, research/creative activity, and service shall be stipulated in the employment contract.

Clinical faculty members are entitled to participate fully on Department, College, and University Committees (within limits prescribed by University regulations), in College Council[, and at faculty meetings].

**Prep-Note 10.***Here, the College should specify additional departmental-level voting rights for clinical faculty members—we provide some of the more typical options for convenience. If clinical faculty members have different rights in different departments, a college should use* [*Appendix B*](#_Appendix_B:_) *of this Template to articulate those differences. This Template strongly recommends that clinical faculty members in all departments within a college have the same rights, and the Template strongly recommends Option A below.*

OPTION A: Clinical faculty members are entitled to vote on all Department matters except (1) appointment, retention, tenure, and promotion of Tenure-Line faculty; (2) appointment and reappointment of career-line faculty above their rank; and (3) promotion of Career-Line Faculty to ranks above their rank.

OPTION B: Clinical faculty members are entitled to vote on all Department faculty appointment, reappointment, and promotion matters, except (1) appointment, retention, tenure, and promotion of Tenure-Line faculty; (2) appointment and reappointment of career-line faculty above their rank; and (3) promotion of Career-Line Faculty to ranks above their rank. They are not entitled to vote on curricular or other departmental matters.

OPTION C: Clinical faculty members are entitled to vote on appointment, reappointment, and promotion matters of Career-Line faculty of their rank or lower. They are not entitled to vote on appointment, reappointment, retention, tenure, or promotion matters of any other faculty categories, nor are they entitled to vote on curricular or other departmental matters.

OPTION D: Clinical faculty members are entitled to vote on departmental curricular and other matters. They are not entitled to vote on faculty appointment, reappointment, retention, tenure, or promotion matters.

OPTION E: A college may choose to add the following phrase at the beginning of any of the above options: [After serving for [#, 1+] years as a career-line faculty member,]

## Adjunct and Visiting Faculty

Per Policy [6-300](https://regulations.utah.edu/academics/6-300.php), Adjunct and Visiting Faculty members shall not have the right to vote in the capacity of faculty members in any context within the University (but may be called upon in an advisory capacity).

# Standards, Criteria, and Rating Scales

**Prep-Note 11.** *In multi-departmental Colleges, individual departments may include an appendix to this document, detailing additional standards required of Career-Line, Adjunct, and/or Visiting faculty in the areas of teaching, research/creative activity, service, and/or clinical work as is consistent with the mission of the relevant department, University policy, and the standards set forth in this* CAV *Statement. See* [*Appendix B*](#_Appendix_B:_)*.*

## Standards

Assessment of a candidate’s performance is based upon achievements in the relevant functions of faculty members—referred to as criteria in University Regulations—with responsibilities stipulated in the employment contract—(1) teaching, (2) research/creative activity, [and] (3) service[, and (4) clinical work].

Summary ratings of performance in the [three OR four] criteria areas described below serve as the standards for review, reappointment, and promotion. The same standards apply to both formal and informal reviews. [University Regulations identify a three-level scale of standards for evaluating performance: *excellent*, *effective*, and *not satisfactory*.] OR [As permitted by University Regulations, this College uses a four-level scale of standards for evaluating performance: *excellent*, *very good*, *effective*, and *not satisfactory*.]

The Department will only evaluate the areas described below—teaching, research[, and] service [and clinical work]—that are applicable to the candidate’s areas of responsibility as stipulated in the employment contract.

Per university policy, in carrying out their duties in research/creative activity, teaching, [and] service[, and clinical work] faculty members are expected to demonstrate the ability and willingness to perform as responsible members of the faculty, as defined in the Faculty Code (Policy [6-316](https://regulations.utah.edu/academics/6-316.php)). Therefore, assessments of research/creative activity, teaching, [and] service[, and clinical work] may consider the candidate’s conduct as a responsible member of the faculty, based on the evidence in the file.

*Sustained*: In the context of this Statement, “sustained” means that the candidate has made contributions over time. While quantity and quality of work may vary from year to year, as a whole the candidate demonstrates continued contributions to research/creative activity, teaching, [and/or] service[, and/or clinical work], as stipulated in the employment contract.

### **Standards for Lecturers**

Generally, Lecturers are not expected to engage in research/creative activity; however, the College encourages and supports Lecturers who do so.

* + - 1. To be reappointed as Instructor, a Lecturer must demonstrate that they are (1) at least Effective in teaching[ and (2) at least Effective in service]. {May add detail}
			2. To be promoted to or reappointed as Assistant Professor, a Lecturer must demonstrate (1) at least sustained Effectiveness in teaching[ and (2) at least Effectiveness in service]. {May add detail}
			3. To be promoted to or reappointed as Associate Professor, a Lecturer must demonstrate that they are (1) [Excellent or Very Good] in teaching, or that they have made substantial progress toward becoming [Excellent or Very Good] in teaching[, and (2) at least Effective in service]. {May add detail}
			4. To be promoted to or reappointed as Professor, a Lecturer must demonstrate (1) sustained excellence in teaching[ and (2) at least sustained effectiveness in service]. {May add detail}

### **Standards for Research Faculty**

* + - 1. To be reappointed as Instructor, a Research faculty member must demonstrate that they are (1) at least Effective in research; [and] (2) if the faculty member teaches, at least Effective in teaching[; and (3) at least Effective in service]. {May add detail}
			2. To be promoted to or reappointed as Assistant Professor, a Research faculty member must demonstrate (1) at least sustained Effectiveness in research; [and] (2) if the faculty member teaches, at least sustained Effectiveness in teaching; [and (3) at least Effectiveness in service]. {May add detail}
			3. To be promoted to or reappointed as Associate Professor, a Research faculty member must demonstrate that they are (1) [Excellent or Very Good] in research, or that they have made substantial progress toward becoming [Excellent or Very Good] in research; [and] (2) if the faculty member teaches, at least Effective in teaching[; and (3) at least Effective in service]. {May add detail}
			4. To be promoted to or reappointed as Professor, a Research faculty member must demonstrate (1) sustained excellence in research, [and] (2) if the faculty member teaches, at least sustained effectiveness in teaching[, and (3) at least sustained effectiveness in service]. {May add detail}

### **Standards for Clinical Faculty**

Generally, Clinical faculty members are not expected to engage in research/creative activity; however, the College encourages and supports Clinical faculty members who do so.

* + - 1. To be reappointed as Instructor, a Clinical faculty member must demonstrate that they are (1) at least Effective in [teaching/clinical work][and (2) at least Effective in service]. {May add detail}
			2. To be promoted to or reappointed as Assistant Professor, a Clinical faculty member must demonstrate (1) at least sustained Effectiveness in [teaching/clinical work][ and (2) at least Effectiveness in service]. {May add detail}
			3. To be promoted to or reappointed as Associate Professor, a Clinical faculty member must demonstrate that they are (1) [Excellent or Very Good] in [teaching/clinical work], or that they have made substantial progress toward becoming [Excellent or Very Good] in [teaching/clinical work][ and (2) at least Effective in service]. {May add detail}
			4. To be promoted to or reappointed as Professor, a Clinical faculty member must demonstrate (1) sustained excellence in [teaching/clinical work][ and (2) at least sustained effectiveness in service]. {May add detail}

### **Standards for Adjunct Faculty**

* + - 1. To be reappointed as Instructor, an Adjunct faculty member must demonstrate that they are at least Effective in teaching or in the areas of responsibility as stipulated in the employment contract.
			2. To be promoted to or reappointed as Assistant Professor, an Adjunct faculty member must demonstrate at least sustained Effectiveness in teaching or in the areas of responsibility as stipulated in the employment contract.
			3. To be promoted or reappointed as Associate Professor, an Adjunct faculty member must demonstrate that they are [Excellent or Very Good] in teaching or in the areas of responsibility as stipulated in the employment contract.
			4. To be promoted to or reappointed as Professor, an Adjunct faculty member must demonstrate sustained excellence in teaching or in the areas of responsibility as stipulated in the employment contract.

## Criteria and Rating Scales

### **Teaching**

Within the University system, the term *teaching* refers to the following [three OR four] components: (a) regularly scheduled course instruction; (b) curriculum and program development; [and] (c) mentoring and advising of students, which includes directing undergraduate and/or graduate student work[; and (d) other teaching activities, specific to this College].

Across these components, this College values teaching activities that explicitly incorporate and address the University’s Foundational Pillars as articulated [here](https://president.utah.edu/). {The College should add a description of the standards and evidence it uses to evaluate a candidate’s contributions to the University’s Foundational Pillars via their teaching in the discipline.}

**Prep-Note 12.** *A college might also choose to address issues such as* ***community engagement****,* ***international perspectives****,* ***interdisciplinarity****,* ***technology transfer****, or other approaches relevant to teaching in their departments. For sample language, see* [*recently approved CAV statements*](https://regulations.utah.edu/collegegovernance/career-line_adjunct_visiting_reviews.php)*.*

#### Description of teaching

*Course instruction.* Course instruction encompasses (a) didactic classroom instruction; (b) online and distance education teaching; (c) the organization and facilitation of seminars and workshops related to curriculum needs; and (d) independent instruction involving one or more students on special topics. {May add detail}

*Curriculum and program development.* Examples of curriculum and program development contributions include the development and teaching of new courses, development of new curricula or programs, and the publication of textbooks or other teaching materials. {May add detail}

*Student advising and mentoring.* Student advising and mentoring generally take place outside of the classroom. Activities in this area include (a) general student advising and mentoring, (b) serving on graduate student committees, (c) directing undergraduate research/creative activity or thesis projects, and (d) including students in research/creative activity and/or as co-authors in scholarly work. {May add detail}

*Other teaching activities.* [A college may include additional types of teaching that are specific to the discipline(s).]

#### Summary rating scale for teaching

Ratings on the [three-point OR four-point] scale below reflect the Department’s consideration of the relevant components of teaching described above.

*Excellent:* The candidate has made substantial contributions in teaching areas for which they are responsible from among the following: course instruction, curriculum/program development, [and/or] student advising and mentoring[, and/or other teaching activities]. {May add detail}

[*Very Good:* The candidate has made meaningful contributions in teaching areas for which they are responsible from among the following: course instruction, curriculum/program development, [and/or] student advising and mentoring[, and/or other teaching activities]. {May add detail}]

*Effective:* The candidate has made acceptable contributions in teaching areas for which they are responsible from among the following: course instruction, curriculum/program development, [and/or] student advising and/or mentoring[, and/or other teaching activities]. {May add detail}

*Not Satisfactory:* The candidate has made insufficient contributions in teaching. {May add detail}

### **Research/Creative Activity**

#### Description of research/creative activity

**Prep-Note 13.** *In this section, a College will describe its research/creative activity in whatever way best suits the discipline. Units are encouraged to keep this section short.*

**Prep-Note 14.***The University values a wide-range of significant accomplishments that contribute to successful research/creative activity, such as, but not limited to, the* ***University’s Foundational Pillars****,* ***community-engaged research/creative activity****,* ***international research/creative activity****,* ***interdisciplinary research/creative activity****, and* ***technology transfer****. This Template recommends that a college include descriptions of these types of research, as relevant to its discipline(s), in its definition of research/creative activity. For sample language, see* [*recently approved CAV statements*](https://regulations.utah.edu/collegegovernance/career-line_adjunct_visiting_reviews.php)*.*

#### Research/Creative activity funding

OPTION A (for colleges that require research funding): [The Department expects a candidate to demonstrate the ability to sustain a research/ creative activity program, including supporting a sufficient number of graduate students in conjunction with the research/creative activity, as well as maintaining research/creative activity operations over a career. As a result, demonstrated ability to *acquire*, *sustain*, *manage*, and *expend* external funding to support research/creative activity is an important indicator of a faculty member’s performance in research/creative activity endeavors.]

OPTION B (for college that require efforts to be made to acquire research funding): [External funding to support research/creative activity is valued by the University, College, and Department and supports the mission of the University. A candidate must therefore demonstrate either success in acquiring funding to sustain a research/creative activity program or significant efforts to obtain such funding with realistic strategies for continuing to do so.]

OPTION C (for colleges in which research funding is encouraged but not required):

[External funding to support research/creative activity is valued by the University, College, and Department and supports the mission of the University. All efforts to obtain such funding contribute positively to a candidate’s performance in research/creative activity.]

#### Summary rating scale for research/creative activity

Ratings on the [three-point OR four-point] scale below reflect the Department’s consideration of quantity and quality of research/creative activities, their relevance to the academic community, and the requirements stipulated in the employment contract. The characteristics of productive research/creative activity differ depending on the candidate’s area(s) of specialization and professional goals, as well as the needs of the candidate’s appointing unit for research in a given area.

*Excellent:* The candidate has made substantial contributions in the research/creative activities for which they are responsible. {May add detail}

[*Very Good:* The candidate has made meaningful contributions in the research/creative activities for which they are responsible.] {May add detail}]

*Effective:* The candidate has made acceptable contributions in the research/activities for which they are responsible. {May add detail}

*Not Satisfactory:* The candidate has made insufficient contributions in research/creative activity. {May add detail}

### **Service**

Evaluations of service are made with respect to three areas, as stipulated in the employment contract: (1) professional service, (2) University service, and (3) public service.

In addition, this college values service activities that explicitly incorporate and address the University’s Foundational Pillars as articulated [here](https://president.utah.edu/). {A college should add a description of the standards and evidence it uses to evaluate a candidate’s contributions to the University’s Foundational Pillars via their service in the discipline.}

**Prep-Note 15***. A college might also choose to address issues such as* ***community engagement****,* ***international perspectives****,* ***interdisciplinarity****,* ***technology transfer****, or other approaches relevant to service in their departments. For sample language, see* [*recently approved CAV statements*](https://regulations.utah.edu/collegegovernance/career-line_adjunct_visiting_reviews.php)*.*

#### Description of service

*Professional Service.* Service in this category may be oriented toward professional organizations, and it includes activities such as holding office; 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. Professional service contributions may also include serving as editor, associate editor, editorial review board member, or regular reviewer for scholarly or professional journals, reviewing book proposals or book manuscripts; and reviewing grant proposals for national funding agencies (e.g., National Science Foundation or Spencer Foundation). {A college may add activities important to a particular discipline, if not covered by the list above.}

*University Service*. This category includes service to the Department, College, and overall institution. A candidate’s shared-governance activities at any of these levels (e.g., chairing and/or serving on standing and ad hoc committees, councils, and task forces or serving in administrative positions) are examples of University service contributions. {A college may add activities important to a particular discipline, if not covered by the list above.}

*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, for example, serving on boards and committees for governmental and/or non-profit organizations, and consulting with and/or providing direct service to community agencies as appropriate within University guidelines. {May add detail}

#### Summary rating scale for service

Ratings on the [three-point OR four-point] scale below reflect the Department’s consideration of service contributions in the three areas described above.

*Excellent:* The candidate has made substantial contributions in areas of service for which they are responsible. {May add detail}

[*Very Good:* The candidate has made meaningful contributions in areas of service for which they are responsible.] {May add detail}]

*Effective:* The candidate has made acceptable contributions in areas of service for which they are responsible. {May add detail}

*Not Satisfactory:* The candidate has made insufficient contributions in relevant areas of service. {May add detail}

### **Clinical Work**

Evaluations are made with respect to [#] components of clinical work, as stipulated in the employment contract: (1) name, (2) name, and (3) name.

In addition, this college values clinical activities that explicitly incorporate and address the University’s Foundational Pillars as articulated [here](https://president.utah.edu/). {A college should add a description of the standards and evidence it uses to evaluate a candidate’s contributions to the University’s Foundational Pillars via their clinical work in the discipline.}

**Prep-Note 16***. A college might also choose to address issues such as* ***community engagement****,* ***international perspectives****,* ***interdisciplinarity****,* ***technology transfer****, or other approaches relevant to clinical work in their departments. For sample language, see* [*recently approved CAV statements*](https://regulations.utah.edu/collegegovernance/career-line_adjunct_visiting_reviews.php)*.*

#### [Description of clinical work]

**Prep-Note 17.** *The College should include description of clinical work as used within the unit. Examples include: oversight in a clinical setting, experiential learning, and skills-based teaching. Remove or add component sections as needed.*

#### *[Clinical Component 1.]* {Description}

#### *[Clinical Component 2.]* {Description}

#### *[Clinical Component 3.]* {Description}

#### [Summary rating scale for clinical work]

Ratings on the [three-point OR four-point] scale below reflect the Department’s consideration of the clinical components described above.

*Excellent:* The candidate has made substantial contributions in areas of clinical work for which they are responsible. {May add detail}

[*Very Good:* The candidate has made meaningful contributions in areas of clinical work for which they are responsible.] {May add detail}

*Effective*: The candidate has made acceptable contributions in areas of clinical work for which they are responsible. {May add detail}

*Not Satisfactory:* The candidate has made insufficient contributions in relevant areas of clinical work. {May add detail}

# Appointment, Review, Reappointment, and Promotion Procedures

For information regarding the appointment/employment, review, reappointment/re-employment, and promotion procedures for Unpaid faculty members [and Other Instructional Personnel], see Section 6[ and Section 7 Respectively].

Career-Line, Adjunct, and Visiting faculty are appointed as faculty members of the Department and of the University and serve for fixed durational terms. Unless the initial appointment letter says otherwise, departments may initiate or faculty members may request reappointment and/or promotion reviews for additional terms in accordance with University regulations, relevant Department and/or College policies, and the processes described below.

## Review and Recommendation Committees

Reviewers must evaluate candidates only on the aspects of teaching, research, service, and/or clinical work for which the candidate is responsible, as articulated in their employment contract; and reviewers must consider all sources of information included in the file.

### **Faculty Appointments Advisory Committee (FAAC)**

The Faculty Appointments Advisory Committee (FAAC) shall consist of all tenure-line faculty members and all Career-line faculty members eligible to vote on a particular appointment, reappointment, or promotion matter, as stipulated in section 3 above.

#### Voting.

FAAC votes shall proceed by secret ballot.

#### Quorum.

Quorum consists of two-thirds of the FAAC membership, except that any member on formal leave of absence or, with prior notification, other extenuating circumstances shall not be counted toward the number required for quorum.

#### Absent FAAC Members.

Whenever practicable, the Department Chair shall advise all eligible FAAC members on leave or otherwise absent of the proposed action. Absent members’ votes will be counted and recorded without distinction between the votes of present members and of absent members.

### **Career-Line, Adjunct, and Visiting Faculty Review Committee (Review Committee)**

The Department Chair appoints the Review Committee members and designates one member as Review Committee Chair. [The Review Committee] OR, IF OPTION A OR B IS USED, [Each Review Committee] is comprised of [two +] members of the tenured faculty and [one +] member of the Career-Line faculty who holds the rank of Associate Professor or Professor.

OPTION A: There is one Review Committee for each individual Career-line, Adjunct, and Visiting candidate for reappointment and/or promotion, as well as for each faculty member undergoing an annual informal review.

OR

OPTION B. There is one Review Committee for the Career-line [and Visiting] candidates for reappointment and/or promotion, a separate Review Committee for the Adjunct [and Visiting] candidates for reappointment and/or promotion, a separate Review Committee for the Career-line [and Visiting] faculty members undergoing an annual informal review, and a separate Review Committee for the Adjunct [and Visiting] faculty members undergoing an annual informal review.

Whenever possible, Career-line faculty members shall not serve on the Review Committee during a year in which they are undergoing review for reappointment and/or promotion.

## Initial Appointments and Terms

Initial appointment rank is based on demonstrated achievement and the expectation of future contributions. When determining the initial appointment duration and faculty rank, the Department shall consider the number of years the faculty member has served in a relevant profession; the length and quality of prior teaching, research, or clinical experience; and their other significant achievements, service, awards, and contributions to their profession.

### **Career-Line faculty appointments and terms**

Initial appointments of Career-Line Faculty members require a search process or a waiver of a search process, both of which require a vote of the FAAC.

Career-line Faculty members are typically appointed for term lengths at the rank of:

* Instructor for one year
* Assistant Professor for up to three years
* Associate Professor for up to five years
* Professor for five years[, with a presumption of renewal to subsequent five-year terms]

### **Adjunct faculty appointments and terms**

Initial appointments of Adjunct Faculty members require a vote of the FAAC.

Adjunct Faculty members are typically appointed for term lengths at the rank of:

* Instructor for one year
* Assistant Professor for up to two years
* Associate Professor for up to three years
* Professor for up to five years[, with a presumption of renewal to subsequent five-year terms]

### **Visiting faculty appointments and terms**

Initial appointments of Visiting Faculty members require a vote of the FAAC.

Presumptively, Visiting faculty members 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 standards otherwise provided in this Statement.

Per University Policy, a visiting faculty member may be appointed for one, two, or three years. A visiting faculty member may be reappointed only if the cumulative years a candidate will serve as a visiting faculty member will be for no more than three years.

## Annual Informal Reviews for Multi-Year Appointments

Career-line, Adjunct, and Visiting faculty members holding multi-year appointments are reviewed each year of the appointment until the final year. These annual reviews are called “informal reviews” and occur in the [Fall or Spring] semester.

An informal review provides the faculty member with guidance and constructive feedback on progress toward meeting expectations for reappointment and promotion and helps the department to ensure that the faculty member is carrying out their responsibilities (as stipulated in the employment contract) in the areas of teaching, research, [and/or] service[, and/or clinical] activities, as relevant.

A primary function of the informal review is to provide advice on developing the file for the formal review process.

### **Annual informal review procedures and file requirements**

The [Department Chair OR Review Committee] shall conduct the informal review.

* + - 1. By [date], the [Department Chair OR Review Committee Chair] shall request the required materials from the faculty member.
			2. By [date], the faculty member shall submit the required materials, which include the following, as appropriate to the areas of responsibility stipulated in the employment contract (see [Appendix A](#_Appendix_A:_) for recommended information to include for each file requirement):
				* An up-to-date curriculum vitae (include details of areas of responsibility)
				* Syllabi (if applicable)
				* Any relevant supplementary material the faculty member chooses to include to illustrate accomplishments in the review year related to teaching, research/creative activity, [and/or] service[, and/or clinical works, as relevant].
			3. By [date], the [Department Chair OR Review Committee Chair] shall add the following materials to the file, as appropriate to the areas of responsibility stipulated in the employment contract (see Appendix A for recommended information to include for each file requirement):
				* Course Feedback Forms (if applicable)
				* List of Department/College/University Service Assignments (if applicable)
				* Evidence of Faculty Responsibility, if available
			4. By [date], the [Department Chair OR Review Committee] shall review the faculty member’s file and prepare a brief written report addressing any strengths or opportunities for improvement in teaching, research/creative activity, [and/or] service[and/or clinical work], as relevant based on the employment contract. The report shall be copied to the faculty member and placed in the review file. Within five (5) business days, the faculty member may submit a written response to the report to the [Department Chair OR Review Committee Chair], who shall add it to the review file.

In the context of an informal review, if a faculty member does not demonstrate clearly adequate progress toward reappointment[ or if any condition specified in the employment contract is not fulfilled] under University Regulations, the [Department Chair OR Review Committee] may trigger an early formal review. The early formal review shall occur the following semester (excluding summer) unless a majority of the Review Committee votes to proceed with the review immediately. Such a review, however, must not be conducted earlier than 30 days after written notice of the review is provided to the faculty member.

## Formal Reappointment and/or Promotion Reviews

To ensure the continued quality performance of faculty members and to make decisions about their reappointment or reappointment with promotion, the Department shall conduct a formal review in the last academic year of the faculty member’s appointment.

**Prep-Note 18.** *In section 5.4.1 or 5.4.2 a college should indicate whether they will follow Career-line or Adjunct reappointment procedures for Visiting faculty for the infrequent circumstances in which a Visiting faculty member is initially appointed for one or two years, and the appointing unit wants to reappoint them for a total of three years maximum in the category of Visiting faculty.*

### **Career-line [and Visiting] faculty reappointment and/or promotion review procedures and file requirements**

**Prep-Note 19.** *A college should indicate a timeline based on the procedure outlined below. Notification of the final results of the review may not be later than March 31 of the review year (for appointments that will end June 30.)*

* + - 1. By [Date] of the academic year for review, the Department Chair shall identify the faculty with expiring terms whose reappointment or reappointment with promotion will be sought and request file materials from the candidates.
			2. By [Date], the faculty member shall submit the required materials, which include the following, as appropriate to the areas of responsibility stipulated in the employment contract (see [Appendix A](#_Appendix_A:_) for recommended information to include for each file requirement):
				* An up-to-date curriculum vitae (include details on areas of responsibility)
				* [OPTIONAL] A Personal Statement (include details on the areas of responsibility)
				* Syllabi (if applicable)
				* Evidence of Research/Creative Activity (if applicable)
				* [Evidence of Clinical Work (if applicable)]
				* Any relevant supplementary material the candidate chooses to include to illustrate accomplishments in the review year related to teaching, research/creative activity, [and] service, [and clinical works,] as relevant.
			3. By [Date], the Chair of the Review Committee shall designate one or more members of the faculty to conduct peer teaching reviews for any candidate who has teaching responsibilities. Peer reviews may be completed by either Career-line or Tenure-line faculty members at or above the rank of the candidate under review. The reviewing faculty members may be drawn from the membership of the Review Committee.
				* For candidates with one-year appointments, one peer review is required.
				* For candidates with appointments longer than a year, at least two peer reviews are required for each formal review.
			4. [OPTIONAL] At least four weeks prior to the Review Committee Meeting the Department Chair shall notify the [Student Advisory Committee (SAC) OR Undergraduate Student Advisory Committee (USAC) and Graduate Student Advisory Committee (GSAC)] of the upcoming review, inform them that their [report OR reports] shall be due by at least one week prior to the Review Committee Meeting, and ensure training for all SAC members. Training shall include, but not be limited to the University-provided SAC training module. The University-provided training module combined with Department and/or College training shall cover, but need not be limited to, the process for and importance of student input into the faculty review process, teaching expectations under this CAV Statement, and a fair and balanced evaluation. The Department Chair shall also provide the [SAC OR USAC and GSAC] with a copy of the University’s form for SAC reports. After the [SAC OR USAC and GSAC] [has OR have] completed training, the Department Chair shall provide the [SAC OR USAC and GSAC] members with the candidate’s relevant teaching-related materials (including at least two different forms of evidence).
			5. By [date], the [Department Chair OR Review Committee Chair] shall add the following materials to the file, as appropriate to the areas of responsibility stipulated in the employment contract (see Appendix A for recommended information to include for each file requirement):
				* Course Feedback Forms (if applicable)
				* Peer Teaching Review(s) (if required)
				* [SAC Reports (if applicable)]
				* The Review Committee Report from the last formal reappointment review (if available)
				* Annual informal review reports since the last reappointment review or, if there is no previous reappointment review, since appointment
				* Evidence of Faculty Responsibility, if available

The candidate has the right to review all contents in the file.

* + - 1. By [Date], the Review Committee Chair shall circulate the candidate’s complete file to the other Review Committee members for review.
			2. The Review Committee Chair shall assign a committee member to prepare a draft of the Review Committee Report. The committee member shall complete the draft report by [Date], and the Review Committee shall confer about the report, revise if necessary, and vote on its approval by [Date].
				* The Review Committee shall write a report that:

summarizes the evidence considered;

states how the evidence considered leads to a rating of Excellent, [Very Good,] Effective, or Not Effective in Teaching, Research/Creative Activity, [and/or] Service[, and/or Clinical Work], as applicable; and

states the vote regarding the Review Committee’s recommendation(s). The Review Committee shall recommend either:

that the candidate be reappointed for between one and five years, and, when under consideration, promoted;

that the candidate be denied reappointment or, when under consideration, promotion; or

where the candidate is progressing toward the standards for reappointment with a multi-year appointment but requires additional time to satisfy the necessary standards, that the candidate be reappointed for one year with the opportunity to be considered for reappointment in the following year.

* + - 1. The Review Committee Chair shall transmit the approved report to the candidate. The candidate shall have five (5) business days to make a written comment on the report or any item in the file, or to indicate they are waiving such right. The Review Committee Chair will place any written comment from the candidate in the file.
			2. By [Date], the Review Committee Chair shall circulate a copy of the report to the FAAC and make the candidate’s complete file available for review.
			3. By [Date], the FAAC shall meet and discuss the recommendations and by a majority secret ballot vote make a recommendation to the Department Chair on the candidate’s reappointment and, if applicable, promotion.
				* If the recommendation(s) of the FAAC differ(s) from the recommendation(s) of the Review Committee, the FAAC shall include a brief report providing evidence from the file that supports the different recommendation(s).
			4. The Review Committee Chair shall provide the candidate with a copy of the vote and report (if present) at the time they are forwarded to the Department Chair.
			5. By [Date], the Department Chair shall review the entire file, make an independent recommendation(s), and notify the candidate of the recommendation(s).
				* If the recommendation(s) of the Department Chair differ(s) from the recommendation(s) of the Review Committee and/or the FAAC, the Department Chair shall include a brief report providing evidence from the file that supports the different recommendation(s).
			6. The candidate has the right, within five (5) business days, to make a written response to the FAAC recommendation(s), FAAC report (if present), Department Chair recommendation(s), and/or Department Chairs report (if present), or indicate a waiver of such right.
			7. By [Date], the Department Chair shall forward the complete file, the FAAC recommendation(s), and their own recommendation(s) to the Dean.
			8. **By March 31**, the [Dean OR Department Chair] shall notify the candidate of the Dean’s independent recommendation(s).
			9. If the candidate has completed at least three years in a career-line position that in total amount to at least .50 FTE receives a negative recommendation for reappointment and/or promotion from the Dean, the faculty member may request a review by the University Career-line Reappointments Committee pursuant to [Policy 6-310](https://regulations.utah.edu/academics/6-310.php).

### **Adjunct [and Visiting] faculty reappointment and/or promotion review procedures and file requirements**

**Prep-Note 20.** *A college should indicate a timeline based on the procedure outlined below. Notification of the final results of the review may not be later than March 31 of the review year (for appointments that will end June 30.)*

* + - 1. By [Date] of the academic year for review, the Department Chair shall identify the Adjunct faculty with expiring terms whose reappointment or reappointment with promotion will be sought and request file materials from the candidates.
			2. By [Date], the faculty member shall submit the required materials, which include the following, as appropriate to the areas of responsibility stipulated in the employment contract (see Appendix A for recommended information to include for each file requirement):
				* An up-to-date curriculum vitae (include details on areas of responsibility)
				* Syllabi (if applicable)
				* Any relevant supplementary material the candidate chooses to include to illustrate accomplishments in the review year related to teaching, research/creative activity, [and] service, [and clinical works,] as relevant.
			3. By [Date], the Chair of the Review Committee shall designate one member of the faculty to conduct peer teaching reviews for any candidate who has teaching responsibilities and has not had a peer review in the past five years.
				* Peer reviews may be completed by either Career-line or Tenure-line faculty members at or above the rank of the candidate under review. The reviewing faculty members may be drawn from the membership of the Review Committee.
			4. By [Date], the [Department Chair OR Review Committee Chair] shall add the following materials to the file, as appropriate to the areas of responsibility as stipulated in the employment contract (see Appendix A for recommended information to include for each file requirement):
				* Course Feedback Forms (if applicable)
				* One Peer Teaching Review (if required)
				* Annual informal review reports since the last reappointment review or, if there is no previous reappointment review, since appointment
				* Evidence of Faculty Responsibility, if available

The candidate has the right to review all contents in the file.

* + - 1. By [Date] The Review Committee Chair shall circulate the candidate’s complete file to the other Review Committee members for review.
			2. 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. If the Review Committee recommends non-reappointment and/or non-promotion for any faculty member, it shall include a brief analysis of evidence from the file that supports the recommendation of non-reappointment.
			3. By [Date], the FAAC will review the report and vote on each individual recommendation.
				* If the recommendation(s) of the FAAC differ(s) from the recommendation(s) of the Review Committee for any faculty member, the FAAC shall include a brief report providing evidence from the file that supports the different recommendation(s).
			4. By [Date], the Department Chair shall review the materials, make an independent recommendation, and forward the materials to the Dean.
				* If the recommendation(s) of the Department Chair differ(s) from the recommendation(s) of the Review Committee and/or the FAAC, the Department Chair shall include a brief report providing evidence from the file that supports the different recommendation(s).
			5. By [Date], the [Dean OR Department Chair] shall notify the candidate of the Dean’s independent recommendation(s).

# Unpaid Career-Line, Adjunct, and Visiting Faculty

[Unit specifies the process and standards for reappointment and promotion reviews. Must be unpaid and based on agreement in employment contract. Minimally must include an updated CV from the candidate, a FAAC vote, and department chair support.]

# Non-Faculty Instructional Personnel

**Prep-Note 21.** *Units should identify the types of non-faculty instructional personnel used in the unit and the purposes of usage of these job categories. Please remove the unused types of non-faculty from the section.*

## Non-Faculty Instructional Personnel Employment and Rights and Responsibilities

Non-faculty instructional personnel include [associate instructors and teaching post-doctoral fellows].

Non-faculty instructional personnel do not hold faculty appointments but do teach credit-bearing courses as the Instructor of Record.

Non-faculty instructional personnel do not have voting rights and are not expected to serve on committees.

[Generally, the Department Chair hires associate instructors as needed to teach one or more courses when unexpected circumstances make it difficult to follow the timeline for career-line, adjunct, or visiting faculty appointments, as described above. Generally, Associate Instructors are hired for one semester.]

[Generally, the Department hires post-doctoral fellows for up to three years using the following process.]

[A college should describe the process to hire instructional postdoctoral fellows.]

## Annual Informal Reviews for Multi-Year Instructional Postdoctoral Fellows

OPTION A: Postdoctoral Fellows are reviewed annually using the same process as described for Career-line, Adjunct, and Visiting Faculty in Section 5.3 above.

OPTION B: Postdoctoral Fellows are reviewed annually using the following process.

[A college should describe the annual review process for Postdoctoral Fellows.]

## Annual Informal Reviews for Associate Instructors

**Prep-Note 22.** *As a reminder, except when an exception has been granted for the continuing use of associate instructors, this category should only be used short term and in urgent situations instead of for long-term employment. If a department or college has been granted an exception, details of the hiring, review, and reappointment processes should be included below. For more information or to request an exception, please reach out to the Office for Faculty.*

[A college should delete this section if no exception for continuing employment of Associate Instructors has been granted.]

OPTION A: Associate Instructors are reviewed annually using the same process as described for Career-line, Adjunct, and Visiting Faculty in Section 5.3 above.

OPTION B: Associate Instructors are reviewed annually using the following process.

[A college should describe the annual review process for Associate Instructors.]

## Reemployment Reviews for Associate Instructors

[A college should delete this section if no exception for continuing employment of Associate Instructors has been granted.]

OPTION A: Associate Instructors are re-employed using the same process as described for [Career-line] OR [Adjunct] OR [Visiting Faculty] in Section 5.4 above.

OPTION B: Associate Instructors are re-employed using the following process.

[A college should describe the reemployment review process for Associate Instructors which shall minimally include a recommendation of the department chairperson and concurring recommendation of the cognizant dean as noted in Policy [6-309](https://regulations.utah.edu/academics/6-309.php).]

# Appendix A: Review File Details

The following details are provided to assist candidates with the compilation of their review file.

1. Curriculum Vitae. The CV should include the following as applicable.
	1. All dissemination of research/creative activity since the beginning of the candidate’s professional career. Must state if acceptance was based on anonymous review or other selection method, and publications must list inclusive page numbers. Student co-authors should be indicated.
	2. Conference papers presented and presentations given, including dates. Invited keynote talks should be indicated. Student co-presenters should be indicated.
	3. Grants and fellowships received or under review. Must state role (e.g., PI, co-PI); amount of award with indication of the candidate’s portion, and the dates covered by the funding.
	4. Honors received for research/creative work, including dates.
	5. List of courses taught since appointment or last reappointment review.
	6. Graduate student committees served on or chaired, including dates.
	7. Individual student research/creative activity supervised, including dates.
	8. Teaching awards or teaching recognition received, including dates.
	9. Clinical activities.
	10. Service activities for the University, profession, and public, including dates.

CVs should be dated. If the CV is updated during the review process, all versions should be included in the file and clearly identified.

1. Personal Statement. This document includes the candidate’s current activities and progress and accomplishments to date.
	1. a Teaching Statement, including the following as applicable:
		1. objectives and philosophy
		2. future plans
		3. curriculum and program development, if relevant
		4. student advising and mentoring, if relevant
		5. other relevant teaching activities, if relevant
	2. Research/Creative Activity Statement, including the following as applicable:
		1. Research/creative activity agenda
		2. current activity
		3. future plans
	3. Service Statement, including the following as applicable:
		1. current activity
		2. Department/College/University Service Assignments
		3. administrative or leadership positions, if applicable
		4. future plans
2. Teaching Materials
	1. course syllabi since appointment or the last reappointment review
	2. other teaching or course materials, if desired
3. Research/Creative Activity Materials
	1. Publications/creative works since appointment or the last reappointment review.
4. Service Materials
	1. Evidence that supports service work (if relevant)
5. [Clinical Materials including the following as applicable:
	1. Experiential learning
	2. Clinical setting
	3. Skills based teaching
	4. Future plans]
6. Any relevant supplementary material the candidate chooses, which may include
	1. Simulations
	2. Presentations
	3. Evidence of pro bono or other work or activities that enhance the Department’s local, regional, national, or international reputation

# Appendix B: Department Appendices

[Add information where departmental voting rights, standards, and/or file requirements vary from college guidelines. Note in document where these deviations occur and refer to this appendix.]

# Appendix C: Notice of Senate Faculty Review Standards Committee and Cognizant Senior Vice President Final Approval

*Review Committee Approval:*

|  |  |  |
| --- | --- | --- |
|  |  |  |
| SFRSC Committee Secretary |  | Date |

*Senior Vice President Approval:*

|  |  |  |
| --- | --- | --- |
|  |  |  |
| [Senior Vice President], Designee |  | Date |