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University of Utah
Department of Geology & Geophysics
College of Science

Retention, Promotion, and Tenure (RPT) Statement for Tenure-line Faculty

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Preface

This document is the Department's Statement of RPT criteria, standards, evidence, and procedures, as required by University Regulations. All committees or individuals making any recommendation or decision in an RPT proceeding 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 [6-303](#) and [6-311](#).

The discipline of Geology & Geophysics is uniquely poised to contribute to pressing societal challenges such as the long-term sustainability of society and natural systems and human well-being. The Department's faculty pursue this goal through fundamental and applied research conducted within an environment of open and unfettered inquiry, educational programs that support student learning, development, and belonging, and service that advances the practice and societal impact of our discipline.

Table of Contents

Preface.....	1
1. Effective Date and Application to Existing Faculty.....	4
2. Informal and Formal Reviews Schedule	4
2.1 Length of Probationary Period and Schedule of Reviews.....	4
a. Probationary period.....	4
b. Reviews schedule	4
Table 1: Reviews Schedule	5
c. Shortening the probationary period.....	5
d. Extending the probationary period.....	5
2.2 Candidates Appointed at the Rank of Associate Professor or Professor, without Tenure	5
2.3 Request for Promotion to Rank of Professor	5
2.4 Relationship to other Processes.....	6
3. RPT Criteria, Standards, Evidence, and Evaluation.....	6
3.1 Summary of RPT Standards for all Criteria.....	6
3.2 Evaluation of Research.....	7
a. Description of research and evidence to be evaluated	7
b. Research funding.....	8
c. Summary rating scale for research.....	8
3.3 Evaluation of Teaching	10
a. Description of teaching activity and evidence to be evaluated	10
b. Summary rating scale for teaching.....	11
3.4 Evaluation of Service	12
a. Description of service activity and evidence to be evaluated	12
b. Summary rating scale for service.....	13
4. RPT Procedures	14
4.1 Participants.....	14
a. Candidate.....	14
b. Department Chair	14
c. Undergraduate Student RPT Advisory Committee (RPT-USAC) and Graduate Student RPT Advisory Committee (RPT-GSAC)	14

d. Peer Teaching Reviewers	14
e. Shared-Appointment Unit	14
f. External Evaluators	14
g. Department RPT Advisory Committee (DAC).....	15
h. Department RPT Advisory Committee Chair	15
i. Secretary.....	15
j. DAC Subcommittee	15
k. Mentor	15
4.2 Informal Review Procedures.....	15
a. Purpose of informal reviews	15
b. First-year informal review.....	15
c. Informal reviews after the first year.....	16
d. Triggering formal retention reviews	17
4.3 Formal Review Procedures	17
a. Department Chair responsibilities.....	17
b. Peer Teaching Reviewers.....	19
c. External Evaluators	19
d. Meeting and Report of Student RPT Advisory Committees (RPT-SACs).....	19
e. RPT file content responsibilities and file closing date.....	19
f. Candidate’s right to comment on file.....	20
g. Department RPT Advisory Committee meeting and subsequent steps.....	20
Appendix A: RPT File Contents.....	23
Appendix B: Notices of Final Approval of RPT Statement	26

1. Effective Date and Application to Existing Faculty

Any candidate appointed to a tenure-line faculty position on or after the effective date shown on page 1 will be considered under this Statement.

With the exception of candidates seeking promotion to the rank of Professor (see below), a candidate whose appointment began prior to the effective date has the option of being reviewed under either (1) the RPT Statement in place at the time of their appointment or (2) this Statement. This Statement will apply automatically unless a candidate communicates a preference to be reviewed under the prior RPT Statement by signed letter submitted to the Department Chair and Dean. For a review during which external evaluations are solicited, the candidate must communicate their preference prior to materials being sent to external evaluators. For all other reviews, the candidate must communicate their preference by the deadline for the candidate to provide materials for the review.

A candidate who will be reviewed for promotion to the rank of Professor after the effective date of this Statement will be reviewed according to the Statement in effect at the time review materials are sent to external evaluators.

2. Informal and Formal Reviews Schedule

2.1 Length of Probationary Period and Schedule of Reviews

a. Probationary period

The probationary period for a candidate appointed at the rank of *Assistant Professor* is *six* years. The probationary period for a candidate appointed without tenure at the rank of *Associate Professor* or *Professor* is *five* years.

b. Reviews schedule

The Department shall conduct either a formal or an informal review of a candidate in each year of the probationary period (as indicated in Table 1 below). Additionally, the Department shall conduct a formal review of each candidate for tenure (and typically also for promotion) in the final year of the probationary period.

A candidate with a six-year probationary period undergoes one formal mid-probationary retention review in the *third* year.

A candidate with a five-year probationary period undergoes one formal mid-probationary retention review, in the *third* year.

Table 1: Reviews Schedule

Rank at Appointment	Year of Informal Review	Year of Formal Review
Assistant Professor	1 st , 2 nd , 4 th , 5 th	3 rd , 6 th
Associate Professor or Professor (without tenure)	1 st , 2 nd , 4 th	3 rd , 5 th

As more fully explained in [4.2.d](#) below, if a candidate does not demonstrate clearly adequate progress in an informal review, a formal review may be *triggered*.

c. Shortening the probationary period

A candidate may request an early tenure review by following the procedures provided for in University Regulations. Because early reviews require a candidate either to have qualifying prior service or to have made extraordinary progress toward tenure, few requests are made, and few are granted. Candidates should consult with the Department Chair, Dean, and senior colleagues before requesting an early tenure review (see Policy [6-311](#)).

d. Extending the probationary period

If the candidate has had an authorized extension of the probationary period per University Regulations, the years of the mid-probationary formal retention review and the final review for tenure shall be adjusted accordingly. Regardless of an extension of a candidate’s probationary period, the Department shall conduct an informal review in any year in which a formal review is not held (see Policy [6-311](#)).

2.2 Candidates Appointed at the Rank of Associate Professor or Professor, without Tenure

The Department typically does not appoint new tenure-line faculty members at or promote current tenure-line faculty to the rank of Associate Professor or Professor without the concurrent granting of tenure. Under appropriate exceptional circumstances, however, a new tenure-track faculty member may be appointed at the rank of Associate Professor or Professor, or a current tenure-track faculty member may be promoted to Associate Professor, without the concurrent granting of tenure.

2.3 Request for Promotion to Rank of Professor

The Department does not require any minimum number of years subsequent to the granting of tenure or promotion to Associate Professor before a candidate may request a review for promotion. In most cases, however, a candidate requests review for promotion to the rank of

professor after the first Tenured Faculty Review (TFR), which occurs five years after tenure is achieved (see Policy [6-321](#)).

2.4 Relationship to other Processes

In the course of any review of a tenure-line faculty member, if an issue arises that is governed by other university regulations, such as the Code of Faculty Rights and Responsibilities (Policy [6-316](#)), or such as an issue that is appropriate for consideration by the University's Office of Equal Opportunity and Title IX (Policy [1-012](#)), the Senate Committee on Academic Freedom and Faculty Rights (Policy [6-010](#)), or the Senate Consolidated Hearing Committee (Policy [6-011](#)), that issue should proceed as is appropriate under the relevant Policy. If a case is referred to or a complaint filed with one of these bodies, those entities may request that the faculty review process be suspended until the matter is resolved; otherwise, the review proceeds based on the criteria, standards, evidence, and evaluation processes as articulated in this Statement.

3. RPT Criteria, Standards, Evidence, and Evaluation

The University and this Department determine a faculty member's tenure status and rank based on assessment of achievements in the three functions of tenure-line faculty members, referred to as *criteria* in University Regulations: (1) research, (2) teaching, and (3) service.

Summary ratings of performance in each of these three areas serve as the *standards* set for retention, promotion, and tenure. University Regulations identify a three-level scale of standards for evaluating performance: *excellent*, *effective*, and *not satisfactory*.

The standards and means of evaluation for each criterion for retention, for tenure, and for promotion to each rank are listed below. Evaluations of a candidate's performance are based on the *evidence* provided in the RPT file, as described in subsequent sections. Faculty who are appointed in the Department at less than 1.0 FTE are expected to meet the same quality standards as full-time faculty, and the expected quantity should consider the allocated time to the department along with any shared-unit or joint-appointment obligations.

Per Policy [6-303](#), in carrying out their duties in research, teaching, and service, 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](#)). Therefore, assessments of research, teaching, and service may consider the candidate's conduct as a responsible member of the faculty, based on the evidence in the file.

3.1 Summary of RPT Standards for all Criteria

Sustained: In the context of this Statement, "sustained" means that the candidate has made contributions over time. While quantity and quality of teaching, research, or service output may

vary from year to year, as a whole the candidate demonstrates continued contributions to research, teaching, and/or service.

Retention: A candidate for retention must demonstrate *reasonable potential* for meeting the standards established for tenure.

Associate Professor: A candidate for promotion to this rank must at least achieve ratings of *sustained effectiveness* in research, teaching, and service. The evidence presented must also demonstrate that the candidate can achieve the requirements for the rank of Professor in due course.

Tenure: A candidate for tenure must achieve a rating of *sustained excellence* in either research or teaching and ratings of at least *sustained effectiveness* in the other two criteria.

Professor: A candidate for promotion to this rank must achieve ratings of *sustained excellence* in research resulting in a national and international reputation in their field, *sustained excellence* in teaching, and at least *sustained effectiveness* in service.

The evidence must demonstrate sustained professional growth and leadership in research, teaching, and service in the years following the granting of tenure and promotion to or appointment at the rank of Associate Professor.

3.2 Evaluation of Research

Evaluation of a candidate's research reflects professional judgments about both the quality and quantity of research and its relevance to the academic community and the professional context of the candidate. The characteristics of productive research may differ depending on the candidate's area(s) of specialization and professional goals.

a. Description of research and evidence to be evaluated

The term *research* refers to establishing and maintaining a program that contributes to the development and dissemination of new knowledge through peer-reviewed publication of research results. Types of research that are expected in the discipline and will be considered include:

- Publications of original research papers in refereed scientific/technical journals and conference proceedings, scholarly books, software, and/or other products, as well as the broader impact of these publications.
- Presentations at conferences, workshops, colloquia or seminars.

- External funding for research received from competitive sources, as well as research expenditures as principal investigator/co-principal investigator/contributor.
- Contributions to large collaborative research initiatives, centers, and programs.
- Development of technologies, patents issued, technology licensed, and/or software licensed or otherwise distributed.
- Community-engaged research, international research, and interdisciplinary research.

The Department shall base its evaluation of the candidate's research on the following sources of information: (a) the candidate's description of research included in a personal statement; (b) the candidate's CV, which should detail their record of funding, publications, and other scholarly products, as well as citation metrics, presentations, and awards; (c) external evaluations assessing the productivity, quality, and impact of the candidate's research; and (d) internal review of the candidate's research papers and any other submitted evidence of research.

b. Research funding

The Department expects a candidate to demonstrate the ability to sustain a research program, including supporting a sufficient number of graduate students and other junior researchers in conjunction with the research, as well as maintaining research operations over a career. As a result, demonstrated ability to *acquire, sustain, manage, and expend* external funding to support research is an important indicator of a candidate's performance in research endeavors.

c. Summary rating scale for research

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

Excellent: The candidate has made substantial and impactful contributions in one or more topic areas of research. The quality and quantity of research/creative activity reflect a cohesive research portfolio in at least one topic area.

To be rated excellent in research, the candidate will have demonstrated each of the following indicators of excellence:

- Strong record of publication of original, refereed research papers in leading disciplinary journals, interdisciplinary journals, as indicated by the number, quality, and impact of publications, and frequency of citations relative to norms for the discipline.
- Keynote, plenary, or invited presentations at conferences, workshops, colloquia, or seminars.

- Significant external funding for research (major research fellowships or awards, grants, or contracts) from competitive sources supporting a vigorous research program.
- Major research advances and/or leadership (as appropriate for the candidate's career stage) that are recognized in external letters of evaluation from recognized leaders in the candidate's field.

Additional indicators that may support a rating of excellence if the candidate's qualifications are unclear with respect to one of the above-listed indicators include:

- Patents issued or technology licensed.
- Publication of scholarly books, widely adopted scientific software, widely used data products and/or peer-reviewed conference proceedings.
- Significant contributions in large collaborative research initiatives, centers, or programs.
- Major research recognitions such as national or international professional awards.

Effective: The candidate has made acceptable contributions in one or more topic areas of research. The quality and quantity of research suggest that eventual contributions will be substantial and impactful.

To be rated effective in research, the candidate will have demonstrated each of the following indicators of effectiveness:

- Publications in peer reviewed journals and/or peer-reviewed conference proceedings.
- External funding supporting an active research program.
- Presentations at major disciplinary conferences, workshops, colloquia or seminars.
- Significant contributions to research that are recognized in external letters of evaluation.

Additional indicators that may support a rating of effective if the candidate's qualifications are unclear with respect to one of the above-listed indicators include:

- Publication of research monographs, scholarly book chapters or reviews, or scientific software or data products.
- Significant self-development activities, such as a faculty development workshops, that produce demonstrated improvement in research.

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

3.3 Evaluation of Teaching

Within the University system, the term *teaching* refers to the following three components: (i) regularly scheduled course instruction; (ii) curriculum and program development; and (iii) mentoring and advising of students, which includes directing undergraduate and/or graduate student work. The Department values teaching contributions that seek to balance content learning, fundamental skill development, open discourse and inquiry, and the belonging and safety of all participants.

a. Description of teaching activity and evidence to be evaluated

The Department shall base its evaluation of the candidate's teaching on the following sources of information: (a) the candidate's description of teaching philosophy, as included in a personal statement; (b) the number, level, and type of courses taught as reported in the candidate's CV; (c) peer review of the candidate's syllabi, assignments, and other teaching materials; (d) peer observation of the candidate's course instruction, seminars, workshops, or other public presentations; (e) information from Course Feedback Forms; and (f) Student RPT Advisory Committee (RPT-SAC) report(s).

The candidate may choose to submit additional information about teaching, including, for example, teaching awards or any evaluation of the candidate's teaching done by personnel from the University's Martha Bradley Evans Center for Teaching Excellence (CTE).

When evaluating teaching, reviewers must consider all sources of teaching information included in the file.

i. Course Instruction

Types of course instruction in the department include: (a) classroom instruction at the general/introductory through specialized/graduate levels; (b) field and laboratory teaching (i.e., involving hands-on practical work, regardless of the materials or techniques used); (c) online and distance education teaching; (d) the organization and facilitation of seminars and workshops that are related to curriculum needs; and (e) independent instruction involving one or more students on special topics.

ii. Curriculum and program development

Academic programs require significant investments of faculty time in ongoing curriculum/program development and maintenance. Examples of these kinds of contributions include development and teaching of new courses, development of new curricula or programs for the Department, and publication of textbooks or other teaching materials.

iii. Student and trainee advising and mentoring

Undergraduate, graduate student, and postdoc advising and mentoring generally take place outside of the classroom. Activities in this area include (a) general advising and mentoring, (b) chairing and serving on graduate student committees, (c) directing undergraduate research or thesis projects, and (d) including students and postdocs in research and/or as co-authors in scholarly work.

b. Summary rating scale for teaching

Ratings on the three-point scale below reflect the Department's consideration of the three aspects of teaching described above.

Excellent: The candidate has made substantial and impactful contributions in areas of course instruction, curriculum/program development, and/or student advising and mentoring.

To be rated excellent in teaching, the candidate will have demonstrated each of the following indicators of excellence:

- Substantial teaching contributions in multiple areas of the curriculum, such as introductory/service courses, core courses for undergraduate majors, field or laboratory courses, and advanced courses in areas of disciplinary specialization.
- Evidence of high-quality teaching in student course feedback reports and peer evaluations.
- Outstanding direction of student and/or postdoctoral research indicated by the quality and impact of research undertaken by the candidate's mentees.

Additional indicators that may support a rating of excellence if the candidate's qualifications are unclear with respect to one of the above-listed indicators include:

- Development of new courses that add to the curriculum, major revision of existing courses, or introduction of innovative teaching techniques.
- Outstanding teaching performance as evidenced by selection for a university, college, or professional society outstanding teacher award.
- Publication of widely adopted or acclaimed textbooks or other instructional materials.

Effective: The candidate has made acceptable contributions in teaching. The candidate shows sufficient progress in the areas of course instruction, curriculum/program development, and/or advising and mentoring to suggest that the eventual contributions in these areas will be substantial and impactful.

To be rated effective in teaching, the candidate will have demonstrated each of the following indicators of effectiveness:

- Significant teaching contributions to one or more areas of the Department's curriculum.
- Evidence of quality teaching in student course feedback reports and peer evaluations.
- Successful direction of graduate student and/or postdoctoral research and membership on graduate student committees.

Additional indicators that may support a rating of effectiveness if the candidate's qualifications are unclear with respect to one of the above-listed indicators include:

- Development of new courses or improvement of existing courses.
- Significant self-development activities that produce demonstrated improvement in teaching.
- Publication of textbooks or other instructional materials.

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

3.4 Evaluation of Service

a. Description of service activity and evidence to be evaluated

Evaluations are made with respect to three areas of service: (i) professional service, (ii) University service, and (iii) public service. It is not necessary for a candidate to participate equally in all three service areas. Participation to varying degrees in the three service areas typically reflects the strengths and interests of individual faculty members.

The Department values all service activity that sustains and amplifies the impact of Earth science research and education and advances goals such as sustainability and human well-being.

i. Professional service

Professional service primarily takes place at a national or international level. This service 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, book manuscripts; and reviewing grant proposals for national funding agencies (e.g., National Science Foundation or Department of Energy).

ii. 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.

iii. Public service

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

b. Summary rating scale for service

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

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

To be rated excellent in service, the candidate will have demonstrated two or more of the following indicators of excellence:

- Significant contribution to departmental, college, and/or University affairs as chair of major committees, member in Academic Senate, or other substantial service or administrative leadership assignments.
- Significant service to a national professional organization, commission, or task force as academic editor, officer, board member, committee chair, or conference program chair.
- Leadership of major outreach activities that garner substantial public recognition related to the candidate's professional expertise.

Effective: The candidate has made acceptable contributions in service. The candidate shows sufficient commitment to service, suggesting that the eventual contributions of the candidate will be substantial and impactful.

To be rated effective in service, the candidate will have demonstrated two or more of the following indicators of effectiveness:

- Service as an active member of university, college, or departmental committees or task forces, and/or as an advisor to student organizations.
- Service as reviewer for proposals and/or major refereed journal publications, committee member or panelist for a professional organization, and/or session chair for a professional meeting.
- Participation in outreach, service-learning, or public service activities that are related to the candidate's professional expertise.

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

4. RPT Procedures

4.1 Participants

The following are the participants in RPT reviews:

- Candidate**. The faculty member under review for retention, promotion, tenure, or tenure and promotion.
- Department Chair**. The administrative head of the Department.
- Undergraduate Student RPT Advisory Committee (RPT-USAC) and Graduate Student RPT Advisory Committee (RPT-GSAC)**. The RPT-USAC is a committee made up of representatives of undergraduate students in the Department. The RPT-GSAC is a committee made up of representatives of graduate students in the Department. Each Committee shall have 3 or more members, elected by their peers. The RPT-SACs shall elect their own Chairs.
- Peer Teaching Reviewers**. Peer Teaching Reviewers are tenured faculty members who write peer teaching review reports based on both review of teaching materials and observation of teaching.
- Shared-Appointment Unit**. This is another academic unit of the University, in which an RPT candidate under review currently has substantial responsibilities, but in which they do not hold a tenure-line position (see University Policies [6-001](#) and [6-300](#)).
- External Evaluators**. These experts from outside the University of Utah evaluate the candidate's research. Each external evaluator must have a demonstrated record of excellence in the candidate's field and must hold the same or higher faculty rank at a research institution as that for which the candidate is being considered in this review or the next promotion review. An external evaluator shall not be a family member, the

advisor or mentor of the candidate, or a close collaborator. A candidate will have the opportunity before evaluations are solicited to identify these relationships and any conflicts with any other potential evaluators, all of whom shall be excluded from the list of potential external evaluators.

- g. **Department RPT Advisory Committee (DAC)**. Voting membership of the DAC is determined by University Regulations for each specific RPT action. Per University Policy, tenured faculty members vote on a recommendation for retention or tenure, and tenure-line faculty members at the same or higher rank vote on a recommendation for promotion-in-rank.
- h. **Department RPT Advisory Committee Chair**. The Chair of the DAC is a tenured member of the Department faculty, elected annually during the Spring Semester, by majority vote of all tenure-line faculty.
- i. **Secretary**. The DAC Chair will assign a Secretary. The Secretary for each candidate prepares a report of the Committee meeting regarding the assigned candidate.
- j. **DAC Subcommittee**. This subcommittee prepares a draft DAC report about an RPT candidate for consideration and finalization by the DAC. The Chair of the DAC appoints the DAC Subcommittee members (total of 1 for an informal review and 3 for a formal review) to write the draft DAC report. The members are tenured and qualified by rank to vote on the DAC's recommendations regarding the candidate.
- k. **Mentor**. A tenured faculty member who advises and supports the candidate. At minimum, the mentor participates in the informal reviews and should maintain a mentorship relationship with the candidate throughout the probationary period. The Department Chair will assign a mentor for the candidate during or before their first semester as a faculty member.

4.2 Informal Review Procedures

a. **Purpose of informal reviews**

An informal review provides a candidate with guidance and constructive feedback on their progress toward meeting RPT expectations. A primary function is to provide advice on developing the file for the formal review process, with particular attention to the materials appropriate to each of the three areas of evaluation: (1) research, (2) teaching, and (3) service.

b. **First-year informal review**

The first-year informal review is conducted during the Spring Semester to assess achievement in research, teaching, and service, and to provide advice and mentorship to the candidate. The DAC

Chair shall review the candidate's CV, research, Course Feedback Forms, syllabi, and service, and shall meet with the candidate to discuss the review and any problems with research, teaching, or service. The Candidate's Mentor shall also attend the meeting. The DAC Chair shall then prepare a brief written report copied to the candidate and placed in the RPT file. Within five (5) business days, the candidate may submit a written response to the report to the Department Chair, who shall add it to the RPT file.

c. Informal reviews after the first year

Normally by August 30 (which will be the informal review file closing date), the candidate shall submit the following materials to the Department Chair, who will add them to the file: (1) a CV; (2) a personal statement that includes the candidate's current activities and progress and accomplishments to date, research agenda, teaching philosophy, and future plans in research, teaching, and service; (3) copies of publications; and (4) course syllabi. The candidate may choose to submit (5) relevant supplementary material, such as course feedback forms from other institutions (see [Appendix A](#)).

The Department Chair will add to the file Course Feedback Forms from University of Utah courses. The Department Chair will also add to the file any appropriate materials regarding any sanctionable violations of university regulations (see [Appendix A](#)).

In the case of a candidate who has a shared appointment, the Department Chair shall notify the administrator of the other unit in writing of the informal review by April 15 and invite the unit to submit a report, which shall include that unit's perspective on the candidate's progress toward tenure. The Department Chair shall make the file available to the shared-appointment unit as soon as the file closes, and the shared-appointment unit will submit the report to the Department Chair by September 30. Any such report will be added to the RPT file and a copy provided to the candidate.

No later than five (5) business days after the file closing date, the candidate may submit a written response to any of the file contents to the DAC Chair, who shall add the response to the file. If a shared-appointment unit submits a report, the candidate must have the opportunity to submit a response no later than five (5) business days following receipt of the report and no fewer than two (2) business days prior to the RPT Committee meeting.

The DAC Chair will appoint an individual Committee member to review the candidate's file and write a draft DAC report that summarizes the candidate's progress toward meeting RPT expectations. The DAC Chair will share the draft report with the DAC at least 5 days prior to the DAC meeting.

The DAC shall meet to discuss the file and the draft report and agree on feedback to be provided to the candidate. The DAC Chair shall finalize the report, which will include a summary of points raised in the meeting without attribution to individual participants. The finalized report is placed in the candidate's file.

After studying the candidate's file, the Department Chair shall add a report to the file and share the reports with the candidate. The candidate may provide a written response to the DAC and Department Chair reports within five (5) business days, which the Department Chair shall place in the file. After the informal review, the Department Chair, the DAC Chair, and the Mentor shall meet with the candidate to discuss the reports, as well as the candidate's progress toward tenure. The informal review normally concludes at this point.

d. Triggering formal retention reviews

In the context of an informal review, if the candidate does not demonstrate adequate progress toward tenure, under University Regulations the Department Chair or a voting majority of the DAC members may trigger a formal retention review. The triggered formal review shall occur the following fall unless a majority of the DAC votes to proceed with the review in the current academic year. Regardless of when the review occurs, the Department Chair must provide written notice of the triggered formal review to the candidate no less than 30 calendar days prior to the commencement of the review.

4.3 Formal Review Procedures

A mid-probationary formal retention review, a triggered formal retention review, a formal tenure review, and a formal promotion review (either to Associate Professor or to Professor) follow the same format, except that external evaluators are not included for mid-probationary formal reviews.

a. Department Chair responsibilities

Determining upcoming RPT formal reviews. By February 1, the Department Chair will determine the obligatory RPT formal reviews for the upcoming academic year and will notify, in writing, the faculty members required to be reviewed. The Department Chair will also invite any other tenure-line faculty members wishing to be reviewed for promotion or tenure to submit a letter requesting review to the Department Chair before March 1. For each candidate being reviewed, if required, the Department Chair will request nominations from the candidate for external evaluators, and request that the candidate submit the signed waiver/non-waiver form governing the confidentiality of external evaluations.

Assigning Peer Teaching Reviewers. No later than March 1, the Department Chair shall select at least two Peer Teaching Reviewers, and then ensure that each Reviewer submits a Peer Teaching

Review report no later than the file closing date to the Department Chair, who shall add the Peer Teaching Review reports to the candidate's file.

Soliciting External Evaluations. Normally by June 1, the Department Chair will send potential external evaluators a standard solicitation letter, including notification of whether the candidate has waived the right to see the evaluations, and will provide a copy of this approved RPT Statement. External evaluators shall be asked to submit their evaluations no later than the file closing date.

Inviting interested parties to comment. At least three weeks prior to the convening of the DAC, and at least two weeks prior to the file closing date, the Department Chair shall invite any interested faculty and staff members in the Department to submit, by the file closing date, signed written recommendations for the file of any candidate they so choose, with specific reasons for each recommendation.

Notifying and training the RPT-USAC and RPT-GSAC. At least three weeks prior to the closing of the file, the Department Chair shall notify the college's ASUU Student Senator and the Department RPT-USAC and RPT-GSAC of the upcoming review, provide the file closing date as the due date for the reports, and ensure training for all RPT-SAC members. Training shall include, but not be limited to the University-provided RPT-SAC training module. The University-provided training module combined with Department and/or College training shall cover, but need not be limited to, the importance of student input into the RPT process, the process for obtaining that input, teaching expectations under the departmental RPT Statement, and approaches for ensuring fair and balanced evaluation. The Department Chair shall also provide the RPT-USAC and RPT-GSAC with a copy of the University's form for RPT-SAC reports. After the RPT-USAC and RPT-GSAC have completed training, the Department Chair shall provide the RPT-USAC and RPT-GSAC members with the candidate's relevant teaching-related materials (including at least two different forms of evidence).

Notifying and providing the file to a shared-appointment unit. In the case of a candidate who has a shared appointment, the Department Chair shall notify the administrator of the other unit in writing of the formal review by April 15 and invite the unit to submit a report, which shall include that unit's perspective and recommendation on the RPT action(s) under consideration. The Department Chair shall make the file available to the shared-appointment unit as soon as the file closes, and the shared-appointment unit will submit the report to the Department Chair by September 30.

b. Peer Teaching Reviewers

Peer Teaching Reviewers observe teaching (ideally in the spring semester preceding the formal review) and then write peer teaching review reports based on those observations as well as review of teaching materials.

c. External Evaluators

The candidate must provide a list of 6 potential external evaluators and provide any information about potential conflicts by April 15. The Department Chair, after consulting with the DAC Chair, and considering the list of potential evaluators submitted by the candidate as well as any information about any conflicts, will obtain no fewer than 5 external evaluations for each formal tenure review and each formal promotion (either to Associate Professor or to Professor) review. For all such reviews, at least 2 external evaluators will be from the candidate's list, and at least 2 external evaluators will not be on the candidate's list. External Evaluators may be used for more than one formal RPT review.

External evaluators are not required for a mid-probationary formal retention review; however, 3 external evaluators are required for a triggered formal retention review in which a majority of the DAC votes that the candidate's research is at issue. For triggered reviews related to research, at least 1 external evaluator will be from the candidate's list, and at least 1 external evaluator will not be on the candidate's list.

d. Meeting and Report of Student RPT Advisory Committees (RPT-SACs)

The RPT-USAC and RPT-GSAC each shall meet to discuss the candidate's teaching file. Using the University's approved RPT-SAC Report form, the RPT-USAC and RPT-GSAC each write and submit a report evaluating the candidate's teaching achievements in accord with University Regulations and using the same standards for teaching as are listed above: excellent, effective, not satisfactory. The report must draw on at least two types of evidence (Course Feedback Forms alone are not sufficient) to support and illustrate the evaluation. All Committee members who attend the meeting shall sign the report.

e. RPT file content responsibilities and file closing date

File Closing. The candidate's file will close September 15, except for materials specified as being added subsequent to the closing date.

Candidate Responsibilities for File Contents. By June 1, the candidate shall submit the following items for inclusion in the file: (1) a current CV; (2) copies of publications and/or other forms of scholarly; (3) a personal statement that includes the candidate's current activities and progress and accomplishments to date, research agenda, teaching philosophy, and future plans in research, teaching, and service; and (4) course syllabi. The candidate may choose to submit (5) other

relevant materials, including Course Feedback Forms from outside the University, and (6) updates of materials up to the file closing date (see [Appendix A](#)). The date on which the candidate submits any updates should be clearly identified in the file.

Department Responsibilities for File Contents. Prior to the file closing date, the Department Chair shall ensure that the file includes: (1) current University of Utah Course Feedback Forms, (2) available RPT-USAC and RPT-GSAC reports, (3) any written recommendations from Department faculty and/or staff members or other interested individuals, (4) external evaluations (treated as confidential as appropriate), (5) peer teaching review reports, (6) the reports and recommendations from all past reviews since the last formal RPT review, as well as the candidate's CV at the time of the last formal review or at the time of appointment if no previous formal RPT review exists, and (7) any other required materials, such as evidence of faculty responsibility. (8) Any report received from a shared-appointment unit, must be submitted and included in the file by September 30; and, any candidate response to that report must be submitted within five (5) business days following receipt of the report (see [Appendix A](#)).

f. Candidate's right to comment on file

No later than five (5) business days after the file closing date, the candidate may submit a written response to any of the file contents to the DAC Chair, who shall add the response to the file. If a shared-appointment unit submits a report, the candidate must have the opportunity to submit a response no later than five (5) business days following receipt of the report and no fewer than two (2) business days prior to the RPT Committee meeting.

g. Department RPT Advisory Committee meeting and subsequent steps

DAC Subcommittee Action. The DAC subcommittee will submit its draft report to all members of the DAC after the file closing date and after receiving any report from a shared-appointment unit (and any response from the candidate), but generally no later than October 10. The report will use the DAC report template, will summarize the evidence pertaining to the candidate's qualifications for promotion and/or tenure, and will propose a rating (Excellent/Effective/Not Satisfactory) for the candidate's record in each of the areas of review.

Department RPT Advisory Committee Action. The full DAC will meet after the file closing date and after receiving the DAC subcommittee draft report, but generally no later than October 15. Each Committee member shall review the full file prior to the meeting. The Committee will discuss the record as it pertains to each of the relevant criteria: research, teaching, and service. Committee members shall vote by secret ballot separately on a recommendation as to each RPT action for each candidate (e.g., a vote on recommendation for tenure is taken and recorded separately from a vote on recommendation for promotion of that candidate) (see voting eligibility for each action in 4.1.g above).

The Department Chair, Dean, and other administrative officials who are required by the Regulations to make their own recommendations in an administrative capacity will be notified of and may attend the meeting, and, upon invitation by the majority vote of the committee, may submit evidence, judgments, and opinions, or participate in the discussion. By majority vote the committee may move to executive session, from which nonvoting participants may be excluded (See Policy [6-303](#)).

Absent Department RPT Advisory Committee Members. Whenever practicable, the Department Chair shall advise all eligible DAC members on leave or otherwise absent of the proposed action and shall request their written opinions and votes in advance of the meeting. Absent members' written opinions shall be disclosed at the meeting and their votes will be counted and recorded without distinction between the votes of present members and of absent members.

Quorum. Quorum of the DAC consists of two-thirds of its members, except that any member unable to attend the meeting because of formal leave of absence or, with prior notification, other extenuating circumstances shall not be counted toward the number required for a quorum.

Department RPT Advisory Committee Report. The report of the meeting is a revision of the DAC subcommittee draft that then reflects the nature of the discussion and documents major arguments raised in support of and against the case. It should explain both affirmative and negative votes, and it should present relevant and specific evidence from the file. The report should be comprehensive enough to allow others to get a sense of the discussion and not solely a list of committee members' observations, a summary, and/or the conclusions. Additionally, it should include consideration of the RPT-USAC and RPT-GSAC reports and the shared-appointment unit report (if present). The DAC report, including vote counts for each recommendation, should be signed by the Secretary, approved by the Committee Chair, and made available for inspection by the Committee members. After allowing an inspection period of not less than two (2) business days nor more than five (5) business days, and after such modifications as the Committee approves, the Secretary shall forward the summary report to the Department Chair and the candidate, along with a list of all faculty members present at the meeting.

Confidentiality. The DAC Chair shall inform the candidate of the Committee recommendation(s) as soon as possible. All Committee votes and deliberations are personnel actions and must be treated with confidentiality in accordance with University Regulations and state and federal law. Members of the Committee are enjoined not to convey the substance or outcomes of Committee deliberations to the candidate or others. The candidate should not ask questions about the Committee's deliberations outside of the conversation with the Committee Chair.

Department Chair Action. After studying the entire file regarding a candidate, the Department Chair shall prepare a written report that includes evaluation and recommendations as to each RPT action and specific reasons for the recommendation with specific evidence presented, and then place the report in the RPT file and provide a copy to the candidate. No later than seven (7) business days after receiving the evaluation and recommendation, the candidate may provide a written statement in response to the DAC report and/or the evaluation and recommendation of the Department Chair. The Department Chair shall place any written response submitted by a candidate in the candidate's file, without comment.

Actions and Appeal Procedures Beyond the Department Level. Subsequent procedures are described in University Regulations and any relevant College Council Charter.

Appendix A: RPT File Contents

Candidate's Responsibility

It is the candidate's responsibility to provide the following documentation to the Department Chair for inclusion in the RPT file by June 1.

1. Curriculum Vitae. The CV should include at least the following:
 - a. All dissemination of research since the beginning of the candidate's professional career, including dates. 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. Citation metrics (summary and/or for specific publications) should be provided.
 - b. Conference papers presented and presentations given, including dates. Invited and keynote talks should be indicated. Student co-presenters should be indicated.
 - c. 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.
 - d. Honors or awards received for research, including dates.
 - e. Postdoctoral, graduate, and undergraduate advisees, including dates of supervision and current status, if known.
 - f. Graduate student committees served on, including dates.
 - g. Teaching assignments, including semester offered, credit hours, co-instructors, and enrollment.
 - h. Teaching awards or teaching recognition received, including dates.
 - i. Service activities for the University, profession, and public, including role where appropriate (e.g., chair or member) and dates.

CVs should be dated. If the candidate updates their CV after it is sent to external evaluators, both versions of the CV should be included in the file and clearly identified.

2. Personal Statement. This document includes the candidate's current activities and progress and accomplishments to date, research agenda, teaching philosophy, and future plans in research, teaching, and service.
3. Copies of research.
4. Course syllabi for all courses taught since the most recent formal review, or since

appointment if no previous formal review exists. No more than five years of course syllabi need be included for any review.

5. Other relevant materials, if desired. These materials might include course feedback forms from other institutions or letters the candidate has received from faculty, staff, students, or other interested individuals. If the candidate has had personnel from the Center for Teaching Excellence observe teaching or review teaching materials, the candidate may wish to include a resulting evaluation in the file. When the candidate's role in particular research is unclear, the candidate should include letters from collaborators describing the candidate's contribution to the work.
6. Candidate response(s) to any file contents, if desired.

Department's Responsibility

1. Peer Teaching Review reports based on review of teaching materials and observation of teaching.
2. All Course Feedback Forms from University of Utah courses taught since the last formal review (with a maximum of five years required for post-tenure promotion to Professor). For formal reviews for tenure, all evaluations since appointment.
3. Any report received from a shared-appointment unit, and any candidate's response.
4. All previous reports submitted by all voting levels from all formal and informal reviews since appointment or the last formal RPT review (whichever is more recent). Previous RPT-SAC reports need not be included. Include the CV at the time of the last formal RPT review (or appointment, if no previous formal RPT review exists).
5. Other relevant materials, such as signed recommendations from faculty, staff, or other interested individuals, consistent with University Regulations.
6. Evidence of faculty responsibility. Letters of administrative reprimand and the latest findings, decisions, or recommendations from University committees or officials arising from relevant concerns about the faculty member should also be included in the candidate's file. The cognizant Office for Faculty is available for consultation regarding this requirement.
7. External Evaluator Materials (when required), kept confidential if the candidate has waived the right to see the evaluations.

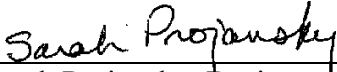
- a. Signed form evidencing candidate's waiver or retention of right to see the evaluations
 - b. External evaluations
 - c. Qualifications of evaluators, normally a brief CV
 - d. Indication of who nominated each evaluator (candidate, Department Chair, or DAC Chair)
8. Committee report(s).
 - a. DAC report.
9. Department Chair's report.
10. Any candidate response to the Department Chair's report and/or the DAC report.

Appendix B: Notices of Final Approval of RPT Statement

Review Committee Approval:

 _____ Trina Rich, SFRSC Committee Secretary	<u>February 21, 2025</u> Date
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Senior Vice President Approval:

 _____ Sarah Projansky, Designee	<u>April 10, 2025</u> Date
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