

Biomedical Engineering Department Addendum to the College of Engineering RPT Guidelines

Approved: March 27, 2015
Revision 1 Approved: April 28, 2018
Revision 2 Approved: November 17, 2023

This addendum, together with the College of Engineering RPT Guidelines, forms the complete guidelines for the Department of Biomedical Engineering RPT process. In cases of conflict between this Addendum and the CoE Guidelines, this Addendum shall prevail.

Procedural Items

- 1) Promotion and Tenure Time Scale:
It is the Department of Biomedical Engineering policy that the tenure review occur by the seventh year for those initially appointed at the rank of Instructor or Assistant Professor, and by the fifth year for those initially appointed at the rank of Associate Professor or Professor.
- 2) Informal Reviews:
The informal review committee membership also includes the **Assigned Mentor** for the candidate. Review will occur after submission of the candidate's Faculty Activity Report.
- 3) Formal Intermediate Reviews:
The formal mid-probationary review occurs in the **fourth** year and external letters are **not required**.

Policy Items

There are two related aspects to RPT policy. The first is the "Areas", which are the metrics for evaluation, and the second is the "Criteria/Standards", which are the associated required levels of each of the Areas. The Areas come from teaching, research, and service; they are the same for all RPT considerations while the Criteria/Standards are specific to each RPT action.

Additional Areas:

Teaching

- Incorporating pertinent scholarship, *e.g.*, research knowledge in areas of domain expertise, into instructional activities.
- Maintaining rigorous standards of course content and of expected student performance.
- Conducting student mentoring outside of formal thesis and dissertation advising roles.

Research

- Transferring scientific discoveries or biomedical technology to practice through technology licenses or other means.

Service

- Taking an active role in the development of professional careers of students.
- Contributing to community programs or activities where such contributions are directly related to education or scholarship.

Additional Criteria/Standards:

1) Retention:

During the first three years of the pre-tenure probationary period, evaluation of the candidate will focus primarily on teaching and research-related productivity.

2) Associate Professor: (Two "Teaching" bullet points removed)

Research

- a. Obtained favorable peer review of research proposals and demonstrated
- b. potential for sustainable extramural funding.

Service

- a. Acted as a reviewer for journals or grant agencies.
- b. Participated in the organization of sessions at local, national, or international scientific meetings or actively served in scientific or professional societies.
- c. Took an active role in the development of the Department and professional careers of students.

3) Tenure:

Award of tenure requires that the faculty member has consistently met the standards required for promotion to or appointment at the level of Associate Professor, and shows clear promise of further development in these areas in the future.

4) Full Professor:

Teaching

- a. Sustained graduation of students with the PhD degree.

Research

- a. Obtained sustained extramural funding. Service
- b. Participated in the organization of national or international scientific meetings, or played a leadership role in scientific/professional societies or in other similar capacities.
- c. Made constructive contributions to university committees, and assumed a leadership role on departmental, college, or university committees.
- d. Continued to take an active role in the development of the Department and professional careers of students.

Expected levels of performance:

The Department of Biomedical Engineering uses a five-point scale—unacceptable, fair, good, very good, excellent—to evaluate its candidates under its standards. In

order to achieve tenure in the Department of Biomedical Engineering, there are three requirements.

First, in teaching, one must be at least an "effective teacher," which translates to achieving a rating of at least very good. Second, in research and scholarship, one must "have established a research program that attracts and supports an acceptable number of top-caliber Ph.D. students, generates an acceptable number of quality scholarly publications, and shows evidence of sustainable funding." This translates to a rating of at least very good. Finally, in service, one must "be a willing and responsible participant in department, college and university service assignments, and must be active in external professional service." This translates to a rating of at least very good.

An overall Department vote of "yes" for tenure means that a candidate has been rated to have achieved in the areas of teaching and research either (i) very good in one area and excellence in the other, or (ii) very good in each area and combined achievements in the two areas that taken together constitute overall excellence.

Revision 2 Approval Vote: The Department faculty voted on November 17, 2023 to approve the proposed amendments.

Yes: 18 No: 0 Abstain: 1

Approvals:

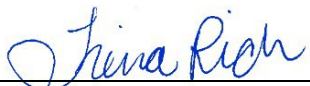
Department Chair Approval (if Department level document):

<u>Approved via email</u>	<u>November 17, 2023</u>
David W. Grainger	Date
Department Chair	

Dean Approval:

<u>Approved via email</u>	<u>November 17, 2023</u>
Richard B. Brown	Date
Dean, College of Engineering	

SFRSC Review Committee Approval:

 <u>Trina Rich</u>	<u>December 27, 2023</u>
SFRSC Committee Secretary	Date

Senior Vice President Approval:

 <u>Sarah Propansky</u>	<u>December 27, 2023</u>
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Sarah Projansky
Senior Vice President Designee

Date

COLLEGE OF ENGINEERING RPT GUIDELINES

BACKGROUND

This document describes the policies and procedures of the College of Engineering related to retention, promotion and tenure of tenure-line (tenured and tenure-eligible) faculty (see PPM 6-300). It also defines the RPT criteria, policies and procedures for those departments within the College that have adopted it.

These guidelines conform to and expand upon the University of Utah RPT Policies and Procedures. This document is to be read with the University guidelines, <http://www.regulations.utah.edu/academics/6-303.html> and <http://www.regulations.utah.edu/academics/6-311.html>. Headings in this document reference parts of PPM which are complemented and adapted to the College of Engineering by these sections.

CRITERIA FOR RETENTION, PROMOTION & TENURE (PPM 6-303 Sec 3 A.2)

Areas

Faculty being considered for retention, promotion and/or tenure will be evaluated in the three areas described below. A candidate's performance in each area will be assessed based upon the quality and impact, as well as the number of accomplishments.

Teaching: Because education is the primary function of the university, all tenure-line faculty members are expected to be accomplished teachers, and in most cases, to teach both undergraduate and graduate courses. Quality teaching requires depth of pertinent knowledge, ability to inspire student interest in the subject, logical organization and presentation of the material, and fair and appropriate assessment of student performance.

Classroom teaching effectiveness is documented through:

- peer and student evaluations;
- development of new courses, improvement of existing courses, and introduction of innovative teaching techniques;
- advising of undergraduate student projects;
- publication of textbooks or other teaching materials; and
- teaching awards.

Research-related teaching contributions are evaluated based upon:

- the quality and impact of research undertaken by the candidate's students,
- the number of graduate students advised, and
- the quality and number of publications authored jointly by the candidate and student advisees.

Other evidence of teaching contributions to be considered include external funding for curriculum development, and general impact of the faculty member's work on educational issues.

Research and Scholarship: Tenure or advancement in rank requires that the candidate contribute significantly and distinctly to the development and dissemination of new knowledge through research and publication of research results. The following will be considered in evaluating a candidate's research and scholarship according to accepted publishing patterns in the candidate's own research area:

- Publication of original research papers in refereed technical journals and conference proceedings. The prestige of the journals and conferences and the quality, as well as number of publications will be considered.

- Publication of research monographs, book chapters, and book reviews.
- Presentations at conferences, workshops, colloquia or seminars. Keynote, plenary and invited talks will be noted.
- Research grants and contracts obtained, and research expenditures due to candidate's research.
- Patents issued and software licensed or otherwise distributed.

For tenure and promotion, external letters of evaluation from recognized authorities in the candidate's area will play a major role in helping assess the quality and impact of the candidate's research and scholarship, and his/her overall professional reputation.

Professional Service: Candidates for tenure or advancement in rank are expected to have contributed significantly to departmental, college and/or university affairs through involvement in faculty governance, committee service, and other assignments. Participation is also expected in professional service beyond the university, such as involvement in professional society activities, editorial boards, conference committees, advisory committees, and reviewing of proposals and publications. Impact of consulting related to candidate's engineering expertise will be considered. Community and government service activities will also be considered. In addition to the list of service assignments, the candidate's effectiveness, leadership and reliability in these roles will be considered.

Evaluation Criteria

The College of Engineering is committed to excellence in each of the areas of evaluation. Reviews should consider the sum of all contributions a candidate has made in teaching, research and service, allowing some variation from the ideal in the balance among them. To be recommended for promotion or tenure, a candidate should be an outstanding scholar, with substantial contributions in each of these areas.

There are required levels of performance in each area, below which an engineering faculty member at the University of Utah cannot be tenured or promoted, despite successes in other areas. To be tenured or advanced in rank, a faculty member:

- Must be an effective teacher;
- Must have established a research program that attracts and supports an acceptable number of top-caliber Ph.D. students, generates an acceptable number of quality scholarly publications, and shows evidence of sustainable funding; and
- Must be a willing and responsible participant in department, college and university service assignments, and must be active in external professional service.

In all of the performance assessments, evaluators may consider the candidate's conduct as a responsible member of the faculty (see PPM 6-316 Sec 4). The promotion or tenure decision is based on documented accomplishments and evidence of future promise. In general, the evaluation will focus on performance in the current rank. It is assumed that as members of the faculty mature, they become more effective in teaching, scholarship and service, so the qualifications for promotion will be progressively more exacting at each successive rank.

Retention is recommended for a tenure-eligible faculty member when there is a reasonable probability that tenure will be granted at the end of the probationary period. A faculty member will be retained when s/he is performing well, is making substantial progress, or despite concerns, has a reasonable possibility of meeting the requirements for promotion and tenure. In order to be tenured or promoted, the candidate will need to address the concerns, deficiencies and suggestions for improvement noted in the informal and formal reviews. The candidate should discuss progress on these points with the Department Chair each year during the probationary period.

Promotion to Associate Professor requires an individual to have: developed a broad reputation for quality research; demonstrated teaching effectiveness; and performed an appropriate amount of quality service both within the University and in the individual's professional community. Promotion to the rank of

Associate Professor will be approved only when a person has given such clear evidence of ability that they may be expected, in due course, to attain the rank of Professor.

Promotion to Professor requires candidates to have made major creative contributions to their areas of research and to have had significant impact on their discipline as verified through their national and international reputations. Promotion to Professor should include evidence of a demonstrated ability to sustain contributions to the field and to the department. High quality teaching and service within the department and professional community are required.

Tenure is awarded only to individuals who have demonstrated substantial achievement and future promise. To be tenured, a candidate must have established a vigorous research program; be seen by external reviewers as a leading scholar among his/her peers; be an outstanding teacher; be a responsible faculty member whose conduct has a positive influence on students and colleagues, and demonstrate a high likelihood of sustaining contributions, so that tenure is in the best interest of the department. While it is common and desirable for faculty members being tenured to have graduated their first Ph.D. student, the evaluation should be focused more on evidence indicating whether the candidate will consistently produce Ph.D. graduates than on whether one student has been graduated. The award of tenure carries an obligation of continued superior performance on the part of the candidate, for which the University in turn offers a stable environment in which to pursue excellence in teaching, research and service.

DEPARTMENT RPT ADVISORY COMMITTEE (PPM 6-303 Sec 3 E.1)

To serve on a Department RPT Advisory Committee, a faculty member must

- be a tenure-track faculty member, and
- have at least half of their state FTE appointment in the department, or if the FTE is in an institute, have their tenure in the department;

or

- be a tenure-track faculty member, and
- be given permission (on an annual basis) to serve by a majority vote of the RPT members who do meet the above criteria.

In order to serve on a given candidate's committee, Department RPT Advisory Committee members must also meet the rank status requirements described in PPM 6-303 Sec 3 E.1.a. The chair of the Department RPT Advisory Committee is elected annually by the department's tenure-line faculty, must be a tenured Professor, and cannot be the Department Chair.

DEPARTMENT RPT REVIEW SUBCOMMITTEE

A subcommittee of the Department RPT Advisory Committee, called the Department RPT Review Subcommittee, shall be formed for each candidate. The candidate has the primary responsibility for the preparation of his/her RPT file, but the Department RPT Review Subcommittee helps assemble the RPT file and contributes to the first level of evaluation. The subcommittee can be assisted in its work by a staff member. The RPT Review Subcommittee is responsible to see that the file is complete and accurately presents the candidate's accomplishments. This subcommittee, like the other participants in the process, is an evaluative body, not an advocacy group.

The subcommittee shall consist of three members, appointed by the Department RPT Advisory Committee Chair; the committee can be reconstituted if a member becomes unavailable for service due, for example, to sabbatical, leave, illness or termination of employment. All of the members must be tenured, and must be at a rank equal to or higher than that for which the candidate is being considered; at least one member of the Subcommittee must hold the rank of Professor. If a department has too few senior faculty members to constitute this committee or the Department RPT Advisory Committee, it will follow the procedures of PPM 6-303 Sec 3 E.1.a.iv to fill the positions. The Department RPT Advisory Committee Chair will ask for input from the Department Chair and candidate regarding selection of the committee members; the

candidate may request one faculty member to serve and one to be excluded from the Review Subcommittee. Balancing of faculty service loads should be considered in making these assignments. If practical, one faculty member whose research is close to that of the candidate and one whose research is distant from the candidate's will be included on the Subcommittee.

COLLEGE RPT ADVISORY COMMITTEE (PPM 6-303 Sec 3 G)

The College RPT Advisory Committee consists of three tenured Professors, nominated by Department Chairs or self-nominated, and elected college-wide by an approval vote of all tenure-line faculty. No more than one member may be from a given department. Members cannot serve as Department RPT Advisory Committee Chairs or on Department RPT Review Subcommittees, and cannot vote on candidates at the department level (PPM 6-303 Sec 3 E.1.a.v.). Committee members serve three year (July 1 through June 30) staggered terms. A member may not serve consecutive terms. The chair of this committee is elected by its members each year. Members of the committee will usually participate in the discussion, deliberation and voting for all RPT candidates, including those from their own departments, but when a member of the committee has had a close working or personal relationship (whether positive or negative) with the candidate, s/he will recuse her/himself from participating. When a member of this committee cannot serve for any reason, either on a particular case or for a year, she or he will be replaced by the person who most recently stepped down from the committee, and who is not from the same academic department as either of the other members.

INFORMAL and FORMAL REVIEWS (PPM 6-303 Sec 3 B)

All tenure-eligible faculty members shall be reviewed annually to assess their achievements in teaching, research and service.

Informal Reviews (PPM 6-303 Sec 3 B.1)

During the probationary period, informal reviews are required each year in which a formal review is not conducted. No external letters or Student Advisory Committee (SAC) Reports are required for informal reviews. As in formal reviews, the candidate's performance in teaching, research and service is evaluated. Informal reviews are conducted based on the tenure-eligible faculty member's performance as evidenced in his/her curriculum vitae (CV), annual faculty activity report (a comprehensive report on research, service and teaching accomplishments, including student course evaluations), and publications. If peer teaching reviews are conducted in that year, they should be included in the review.

Informal reviews must minimally include 1) a face to face meeting between the candidate and the department chair to discuss the candidate's progress based on the file; 2) involvement, determined by the department, from the RPT advisory committee (and academic program if relevant); and, 3) a written report to be made available to the candidate and the dean. The candidate has seven days from receipt of the report(s) to respond if s/he so chooses. The response is attached to the Informal Review Report(s) in the candidate's department personnel file, and copies of the Informal Review Report(s) and the response are sent to the Dean.

Members of the Department RPT Advisory Committee can, upon request to the Department Chair, view the report(s) and the response. In cases of poor progress, the Department Chair or Department RPT Advisory Committee Chair can request that the Department RPT Advisory Committee meet to discuss the report(s) and response, and to vote on whether to trigger a formal retention review.

Formal Reviews (PPM 6-303 Sec 3 B.2)

All tenure-eligible faculty members shall have a formal, mid-probationary retention review in their third year. As noted above, other formal reviews can be triggered based on concerns raised in the annual

informal reviews, or can be requested by a candidate seeking early promotion or tenure. External letters are not required for the third year review, but by request of the Department Chair, by majority vote of the candidate's Department RPT Advisory Committee, or by request of the candidate, departments may include outside letters of evaluation. Any request for external letters must be made in the spring by the date specified in the College RPT Calendar. Regardless of whether external letters evaluating the candidate's research quality have or have not been included in the retention file, a substantive assessment of the quality of the candidate's research and scholarship will be made based upon the quality and number of original publications in refereed technical journals and conference proceedings; research monographs or book chapters published; presentations at conferences, workshops, colloquia or seminars; patents issued and software licensed or otherwise distributed; research grants and contracts obtained; research expenditures; and graduate students supported. Formal retention evaluations will also include an assessment of strengths and weaknesses in teaching and service based upon the points listed under Areas of Evaluation, above.

Fairness to the candidate requires that the reviews be as candid as possible about shortcomings so that the candidate has an opportunity to correct his/her course before a tenure decision is made. Similarly, strengths should be noted in RPT Advisory Committee Reports. Expectations for the coming years should be clearly laid out in the reports and administrators' letters of evaluation.

Promotion and Tenure Time Scale (PPM 6-311 Sec 4 B, PPM 6-315 Sec 3 D)

Tenure-eligible faculty members must be reviewed for tenure by the final year of their probationary period. It is College of Engineering policy that the tenure review occur by the sixth year for those initially appointed at the rank of Instructor or Assistant Professor, and by the fifth year for those initially appointed at the rank of Associate Professor or Professor, in all cases, subject to extension only under PPM 6-311 Sec 4 C; or PPM 6-315 Sec 3 D. A tenure-eligible faculty member who is not tenured by the end of his/her probationary period will be given a one-year terminal appointment.

Early Promotion and Tenure (PPM 6-311 Sec 4 C.1)

Any faculty member may, in order to shorten the probationary period, initiate an off-cycle formal review of his/her case by written request to the Department Chair prior to the spring deadline set by the College RPT Calendar for such notification. An Assistant Professor may be considered for early promotion or tenure in any year after the first and before the sixth year of the probationary period. An Associate or Full Professor may be considered for early tenure (and/or promotion for Associate Professors) in any year after the first and before the fifth year of the probationary period. Although early tenure and promotion are warranted in some cases, early promotion and tenure should be the exception; evidence in the file must demonstrate that the candidate unequivocally meets the promotion and tenure standard. The chair's request to the Dean to schedule an early promotion and/or tenure review should include an explanation of why it is in the best interest of the department and college.

Early promotion to Professor is also possible, but must be justified by unequivocal evidence in all areas that promotion is appropriate for the candidate at that time. Six to eight years in the Associate Professor rank is considered normal for successful faculty members.

RPT FILE (PPM 6-303 Sec 3 D)

The candidate's RPT File is assembled by the candidate and the Department RPT Review Subcommittee. Both an electronic copy in the format specified by the College, and an exact paper copy in a tab-separated binder must be provided.

The curriculum vitae will be included in the candidate's RPT File as sections of the body of the file, organized as specified in the College of Engineering RPT File Template, in order to avoid duplication of information. Recommendations for maximum page counts on candidate self-evaluation and other sections

are specified in the template. The following items, in the organization shown, will constitute the candidate's file:

Prepared By	Section	Description
All Reviewers	1	Formal Retention, Promotion, Tenure Summary Worksheet
Review Sub	A	Probationary Worksheet (if applicable)
Review Sub	B	Transition Schedule (if applicable)
Review Sub	C	Authorization of Early Tenure Review (if applicable)
Candidate	D	Combined RPT Summary (single pdf, excluding publications)
	2	College Evaluation
Dean	A	Dean's Letter of Recommendation
College RPT	B	Report of College RPT Advisory Committee
Candidate	C	Candidate's Response to 2A and/or 2B (optional)
	3	Department Evaluation
Dept. Chair	A	Department Chair's Letter of Recommendation
Dept. RPT	B	Report of Department RPT Advisory Committee
Review Sub.	C	Recommendation of Academic Program (if applicable)
Candidate	D	Candidate's Response to 3A and/or 3B and/or 3C (optional)
	4	Background Information
Review Sub.	A	Copy of College/Department RPT Guidelines
Dept. Chair	B	Past Review Evaluations, no external letters (in Current Rank)
Dept. Chair	C	Evidence of Faculty Responsibility (if present)
Review Sub.	D	Other Written Statements (PPM 6-303 Sec 3 D.8)
Candidate	E	Candidate's Response to 4D (optional)
	5 A	Personal Information
Candidate		1. Name, Degrees, Positions at the University of Utah, Positions at other Institutions
Candidate		2. Honors and Awards
	5 B	Teaching
Candidate		1. Candidate's Statement on Contributions to Teaching
Candidate		2. New/Modified Courses Developed at U of U
Candidate		3. M.S. and Ph.D. Student Committees Chaired
Candidate		4. Undergraduate Research or Special Projects Directed
Candidate		5. Short Courses and Workshops Taught
Review Sub.		6. Course Eval Summaries & Comments (during present rank)
Review Sub.		7. Peer Teaching Evaluations
Dept. Chair		8. Student Advisory Committee Report
Candidate		9. Response to SAC Report (optional)

	5	C	Research
Candidate			1. Candidate's Statement on Contributions to Research
Candidate			2. Description of Research Programs Underway
Candidate			3. Research Grants and Contracts
Candidate			4. Equipment and Non-Research Gifts
Candidate			5. Pending Proposals
Review Sub.			6. OSP Funding Award Report
Review Sub.			7. Research Expenditures by Year (from CoE database)
	5	D	Publications and other Scholarly Activities
Candidate			1. Books, Book Chapters and Book Reviews
Candidate			2. Refereed Journal Publications
Candidate			3. Papers in Rigorously Reviewed Conferences
Candidate			4. Other Papers Published or Presented
Candidate			5. Invited Talks to Prestigious Colloquia or Seminar Series
Candidate			6. Papers Submitted for Publication
Candidate			7. Disclosures, Patents Issued, and Software Distributed
Candidate			8. Major Media Exposure
Candidate			9. Example Publications (no more than five)
Review Sub.			10. Qualitative Assessment of Journals and Proceedings
	5	E	Service
Candidate			1. Candidate's Statement of Contributions to Service
Candidate			2. Department, College and University Service
Candidate			3. Professional External Service
Candidate			4. Outreach Activities
Candidate			5. Mentoring of Faculty and Students other than Advisees
Candidate			6. Impact of Consulting in Candidates Area of Expertise
	6		External Evaluation
Review Sub.		A	Sample Letter of Request for External Letters
Review Sub.		B	Waiver or Non-waiver Form
Review Sub.		C	External Reviewer Grid
Review Sub.		D	Letters of Evaluation & Brief Reviewer Bios
Review Sub.		E	Past Review External Letters

Details of the data required and specific formatting information are found in the College of Engineering RPT File Template. A few general notes about the content of the RPT File follow:

- All course evaluations must be included in the file of Assistant Professors. Course evaluations for the past five years should be included for Associate Professors and Professors.
- Peer teaching evaluations of at least two courses, preferably at least one undergraduate course and one graduate course, must be included.

- Evidence related to faculty responsibility might include letters of administrative commendation or reprimand, or decisions or recommendations from university committees or officials. These must be included in the candidate's file in Section 4C.
- All signed interested party letters (PPM 6-303 Sec 3 D.8), both positive and negative, must be included in Section 4D of the RPT File. The candidate will be able to read and give written response to these letters, with the response placed in section 4E. The Department RPT Advisory Committee should discuss the merit of such letters in its report.
- When external letters of evaluation are solicited for retention (where they are optional), promotion to Associate Professor, or tenure, at least five letters must be received, and at least three must be from reviewers not suggested by the candidate. For promotion to Professor, at least seven letters must be received, with four from reviewers not suggested by the candidate.
- Solicited external letters of evaluation must be from leading experts, holding a rank or stature equal to or higher than the proposed rank for the candidate, who can give an impartial evaluation of the candidate. If a letter is included from the faculty member's Ph.D. advisor, the number of letters required is increased by one.
- Solicited external letters must address the proposed RPT action(s), and must have been written within 16 months of the File Closing Date, which is the first day of the official seven day period set by the department for candidates to review their completed files.
- If the required number of external letters has been received for a given case by the first fall deliberative meeting of the Department RPT Advisory Committee, then no letters that are received after the deadline may be added to that file.
- The Department RPT Advisory Committee delays detailed discussion of a candidate's file until the required number of letters has been received. Solicited external letters may be added to the file until the requisite number of letters has been received, even after the deadline.
- Submission of an excessive number of references is discouraged. Requesting two extra letters should be sufficient.
- Emailed letters of reference must include a letterhead and an electronic signature, and must meet current University security standards.

The RPT review process is considered to begin for all candidates on the File Closing Date. After this date, no data or documents may be added to, deleted from, or changed in the file, except the following: external letters may be added until the Department RPT Advisory Committee first meets to consider candidates, or until the required number of letters has been received, whichever is later; missing information requested by the evaluative bodies at any level may be added to make the file complete; and the reports, letters of evaluation, and responses that are spelled out in PPM 6-303 will be added as the case proceeds through the evaluation process.

RPT PROCEDURES (PPM 6-303 Sec 3 E)

This section establishes the procedures and calendar for evaluation of the RPT decision process. The current College RPT calendar is found at www.coe.utah.edu/faculty; every effort must be made by all parties involved in the RPT process to adhere to it.

Each faculty RPT candidate must be accorded due process, which requires that RPT criteria be considered, weighed carefully and commented upon in any report by a review committee. The welfare of the students, the Department, the College, and the University must also be considered in the evaluation. An evaluation of the candidate's performance in teaching, research and service on a scale of Poor, Fair, Good, Very Good, or Excellent shall be made by the Department RPT Advisory Committee, Department Chair, College RPT Advisory Committee (if it disagrees with recommendations at the department level), and Dean.

Voting in Department or College RPT Advisory Committees may be by secret or open ballot. The College RPT Advisory Committee Members vote to determine which method of voting they will use. All members of the Department RPT Advisory Committee, including faculty of all ranks, vote to determine the voting

method to be used in the Department. Any change in voting method in either the College or Department RPT Advisory Committees must be made by the beginning of deliberations in the fall, so that the same voting method is used for all cases in a given year. Even when open voting is used, information about how individual Advisory Committee Members voted is confidential, and is not to be disclosed outside of the committee meeting except in summary form in the Advisory Committee Report.

Department RPT Advisory Committee members who are unable to attend a meeting may, subsequent to a thorough review of the candidate's RPT file and prior to the meeting, submit in writing to the Department RPT Advisory Committee Chair, comments to be read during deliberations and/or an absentee ballot (PPM 6-303 Sec 3 E.4). Any absentee votes will not be revealed to the rest of the committee members unless voting is open, and then, not until after a vote has been taken by the members in attendance. The vote shall be recorded with no distinction between in-person and absentee votes. Phone or video conference participation in the Department RPT Advisory Committee Meeting is also acceptable, and is preferable to absentee voting.

Candidate Responsibilities

It is the responsibility of the faculty member being considered for retention, promotion, or tenure to ensure that his/her file contains the necessary, current, and complete candidate-supplied documentation (see document list earlier in these guidelines).

Spring. The candidate

- Compiles and furnishes his/her curriculum vitae to the RPT Review Subcommittee in the candidate's preferred format.
- Writes and provides to the RPT Review Subcommittee the self-evaluations and other candidate-supplied documents (see contents of RPT File above).
- Provides the RPT Review Subcommittee a list of four to six potential external reviewers, with brief biographical summaries and an explanation of the candidate's relationship to each. (If the candidate has waived his/her right of access to the solicited external letters of recommendation, the candidate will not be allowed to read the letters, nor will s/he be notified of the names of the persons from whom the letters have been requested.)

Fall. The candidate

- Updates the RPT file to its final form and reviews his/her file (minus the external letters of reference if the waiver was signed) to make sure that the information is current and complete.
- Optionally comments in writing on Other Written Statements (PPM 6-303 Sec D.8) in Section 6E. To be included in the file, a response must be received by the RPT Review Subcommittee before the end of the departments' official seven-calendar-day candidates' review period. The candidate response, if any, will be added to section 6E.
- Optionally responds in writing to the reports/letters generated by the evaluative bodies (Department RPT Advisory Committee/Department Chair, and College RPT Advisory Committee/Dean) as the RPT process proceeds. For these responses to be included in the file, the candidate must reply within seven days from the time s/he receives the report and letter.

Department RPT Review Subcommittee Responsibilities

The Department RPT Review Subcommittee will contribute to the RPT process by assembling the RPT File with input from the candidate and other parties (see RPT File above), assuring that it is complete, accurate, and prepared on time, and by evaluating the candidate's file in detail.

Spring. During Spring Semester, the RPT Review Subcommittee will

- Suggest external reviewers to the Department RPT Advisory Committee Chair and provide brief background information on each external evaluator for inclusion in the candidate's file.

- Solicit a recommendation from the director of any academic program in which the candidate participates that is outside of the academic department.
- Solicit input on service quality from University sources. All input must be in signed letters, which will be included in section 6E, and will be available to the candidate.

Fall. Before the date set by departments for candidates to begin reviewing their files, the RPT Review Subcommittee will

- Generate a qualitative assessment of the journals and proceedings appearing in the candidate's list of publications, for inclusion in the RPT file.
- Prepare the following which could, if the Department RPT Advisory Committee chooses, serve as first drafts of language to be incorporated into the Department RPT Advisory Committee Report:
 - A brief summary of teaching based upon all evidence and inputs.
 - A brief summary of research and reputation based on the publications, external letters, and all other evidence.
 - A brief summary of service describing the amount and quality of internal and external service.
- Assemble all sections of the initial RPT file that are generated by persons other than the candidate.
- As directed by the Department RPT Advisory Committee Chair, present the case orally to the Advisory Committee.

The summary evaluations and oral presentation should present the candidate's strengths and discuss any concerns in the case.

Department Chair Responsibilities (PPM 6-303 Sec 3 F)

The department chair has overall responsibility to see that the RPT procedures are followed in the Department, that the calendar is adhered to, that all pertinent materials are obtained and kept secure, and that appropriate persons are notified at each stage of the process. Routine clerical tasks can be performed by a staff member who will be instructed about the confidentiality requirement related to the RPT process and documents.

Spring. The chair will

- Manage the election of the Department RPT Advisory Committee Chair, who will serve for a term of one year, but may serve consecutive terms if re-elected.
- Determine those individuals for whom informal and formal reviews are required in the coming year, and communicate this to the Department RPT Advisory Committee Chair.
- Carry out the procedures in PPM 6-311 Sec 4 C.1 for authorizing an early review for tenure when a candidate requests one.
- No later than the end of March, notify the Student Advisory Committee (SAC) officers and Student Senate Representative of the faculty members who will have formal reviews.
- Suggest names of external reviewers to the Department RPT Advisory Committee Chair if s/he feels that additional reviewers are needed beyond those suggested by the Department RPT Review Subcommittee and Department RPT Advisory Committee Chair.

Fall.

- After the RPT Advisory Committee has reached a decision and written its report, the Department Chair prepares his/her own letter of recommendation, ranking the candidate using the poor-to-excellent scale for teaching, research and service, and making and justifying an overall recommendation regarding the proposed RPT actions.
- The Department Chair sees that a copy of his/her letter is delivered to the candidate, who has seven calendar days to respond to it and to the Department RPT Advisory Committee Report if s/he so desires.
- The Department Chair adds the Departmental RPT Advisory Committee Report, his/her letter of evaluation, and the optional candidate's response to the RPT File and forwards the file to the Dean (PPM 6-303 Sec 3 F.4).

Student Advisory Committee Responsibilities (PPM 6-303 Sec 3 C.3, PPM 6-303 Sec 3 D.7)

For faculty candidates undergoing formal RPT reviews, the SAC members will perform the following functions:

Spring.

- SAC members observe the faculty candidate in a formal classroom situation, in a lab session, and/or in other instructional settings.
- SAC members review the candidate's formal course evaluations.
- SACs may survey students for input, but if they do so, they must use random, representative sampling techniques.
- Graduate or unified SACs solicit letters from current and/or past graduate students advised by the candidate using the College template for such letters.

Fall.

- The SAC submits the signed, written report (in the format specified by the University) to the Department Chair at least two weeks prior to the RPT File Closing Date.

If there are both undergraduate and graduate SACs, they submit separate reports. Letters solicited from graduate advisees by the SAC are confidential. The SAC incorporates input from these letters into its report. The candidate will not be notified of the names of the persons from whom the letters were requested.

Department RPT Advisory Committee Chair Responsibilities (PPM 6-303 Sec 3 E)

Spring. The Chair of the Department RPT Advisory Committee will:

- Consult with the Department Chair and candidates about the membership of RPT Review Subcommittees, and appoint a Subcommittee for each candidate.
- Consult with the members of the candidate's RPT Review Subcommittee and the Department Chair regarding external reviewers, including those suggested by the candidate, and select those from whom letters are to be solicited.
- Request letters of recommendation from the external reviewers.

Fall.

- Contact, early in Fall Semester, any external reviewer whose letter has not been received, with a reminder of the importance of these letters to the RPT process.
- Call and conduct meetings of the Department RPT Advisory Committee. The scheduling of these meetings should meet the College RPT Calendar, and a week's notice must be given to the participants.
- Write the Department RPT Advisory Committee Report for each candidate after the final discussion and vote of the Committee.
- Make the Report available for scrutiny by members of the RPT Committee for a minimum of two and a maximum of five days for the purpose of allowing committee members to suggest changes to ensure accuracy. When the Report is finalized, see that it is delivered to the candidate and to the Department Chair.
- Appear at a College RPT Advisory Committee Meeting to clarify RPT file issues for candidates from the department by answering questions posed by the members of the College RPT Advisory Committee. The purpose of this interaction is clarification, not advocacy.

RPT Advisory Committee Responsibilities (PPM 6-303 Sec 3 E, PPM 6-303 Sec 3 G.1.d)

Each member of both the Department and College RPT Advisory Committees will have the following responsibilities in the review process:

- Independently review all of the materials in each candidate's file.
- Review the materials in light of the criteria set forth by University, College and Department RPT Guidelines in the areas of teaching, research/scholarship, and service.
- Determine whether the candidate meets the criteria in each area.
- Share determinations and rationale when called upon by the RPT Committee Chair in scheduled committee meetings.
- Contribute to the evaluation report as required by University regulations.
- Maintain the highest standards of professional judgment and conduct in completing each element of the review process.
- Preserve the confidentiality of the materials and the proceedings.

Department RPT Advisory Meeting (PPM 6-303 Sec 3 E)

Following are slight procedural clarifications/modifications of PPM 6-303 for the College of Engineering.

The RPT Advisory Committee meeting is closed to everyone except for RPT Committee members defined above, and optionally, a staff member to act as Committee Secretary. The RPT Committee chair appoints a member of the committee or a staff member to take unofficial notes during the meeting for the purpose of aiding in the subsequent writing of the RPT Committee Report. These notes are kept strictly confidential and are made accessible to no-one outside of the committee, including the RPT candidate; they are not to be circulated electronically, and they are destroyed once the committee's final report is written.

When the discussion by the RPT Committee is concluded, a vote on the RPT action will be taken (PPM 6-303 Sec 3 E.6). A count of the "Yes", "No" and "Abstain" votes for each proposed action, and the Committee's evaluation of teaching, research and service based on the Poor, Fair, Good, Very Good or Excellent scale, should be included in the RPT Advisory Committee Report. If a candidate is jointly appointed with an academic program, the RPT Advisory Committee Report shall reflect both the Advisory Committee's discussion and the recommendation of the academic program.

The Department RPT Advisory Committee Report will be made available for scrutiny by members of the RPT Committee for a minimum of two and a maximum of five days for the purpose of allowing committee members to suggest changes to ensure accuracy. The report can be signed by the RPT Committee chair on behalf of the whole RPT Committee, or can be signed by all members of the committee, as determined by a vote of the Department RPT Advisory Committee; whichever method is used, should be used in all cases in a given year. If disagreements regarding the report cannot be resolved, dissenting members of the Department RPT Advisory Committee will be allowed to add their own statements to the file. The Committee Report will then be placed in the candidate's RPT file by the secretary and forwarded to the Department Chair and the candidate.

All discussions during the Department RPT Advisory Committee meeting will be treated as strictly confidential. The Department RPT Advisory Committee Chair may discuss the Committee's report with the candidate, but at no time should any member of the RPT Committee communicate to the candidate anything that was discussed in the RPT Committee meeting, including information about the votes (if voting was open) beyond that which is stated explicitly in the Department RPT Advisory Committee's formal written report.

College RPT Advisory Committee Meetings

The rules of confidentiality for the College RPT Advisory Committee are the same as those for the Department RPT Advisory Committee. The role of the College RPT Advisory Committee is to determine whether the Department RPT Advisory Committee and Department Chair reasonably applied the written

substantive and procedural guidelines in each case, i.e., does the evidence support the recommendation (PPM 6-303 Sec 3 G.1.d).

The College RPT Advisory Committee evaluates each candidate's complete RPT file in light of the RPT Guidelines, carefully considering the discussion and evaluations in the Department RPT Advisory Committee Report and the Department Chair's letter of evaluation. The College RPT Advisory Committee invites the Chair of the Department RPT Advisory Committee to appear and answer any questions about the candidate's file that might need clarification.

- When the recommendations of the Department RPT Advisory Committee and the Department Chair are in agreement, and the College RPT Advisory Committee, by majority vote, concurs with their recommendations, the College RPT Advisory Committee prepares a report which records this endorsement and includes a brief summary documenting the discussion. No independent ranking of teaching, research or service is required.
- When the recommendations of the Department RPT Advisory Committee and the Department Chair are not in agreement, or when the College RPT Advisory Committee, by majority vote, disagrees with their recommendations, the College RPT Advisory Committee provides its own ranking of teaching, research and service, and votes on each proposed RPT action. The College RPT Advisory Committee prepares a report that records the vote(s) and rankings, and provides information justifying these, giving specific attention to the areas of disagreement with the Department Chair and/or Department RPT Advisory Committee.

The College RPT Advisory Committee Report will be made available for scrutiny by members of the RPT Committee for a minimum of two and a maximum of five days for the purpose of allowing committee members to suggest changes to ensure accuracy. The report is signed by all members of the committee. A dissenting member of the College RPT Advisory Committee will be allowed to add his/her own statement to the file. The Committee's report will then be placed in the candidate's RPT file and submitted to the Dean.

Dean Responsibilities (PPM 6-303 Sec 3 G.2-5)

The Dean has responsibility to provide the College RPT Calendar, College RPT File Template, and templates for requesting letters of recommendation.

Spring. The dean will

- Manage the election of the College RPT Advisory Committee members.

Fall.

- After the College RPT Advisory Committee has reached a decision and written its report, the Dean will prepare his/her own letter of recommendation, ranking the candidate using the poor-to-excellent scale for teaching, research and service, and making and justifying an overall recommendation regarding the proposed RPT actions. The dean may employ one or more associate deans to aid in the evaluation of candidate files.
- The Dean sends copies of his/her recommendation and the College RPT Advisory Committee Report to the candidate, who has seven calendar days to respond if s/he so desires.
- The Dean adds the College RPT Committee Report, his/her letter of evaluation, and the optional candidate's response to the RPT File and forwards the file to the Senior VP for Academic Affairs.

Appendix A: Notice of Senate Faculty Review Standards Committee and Vice Presidential Final Approval.

Review Committee Approval:

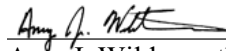


Lincoln L. Davies, Chair

December 21, 2016

Date

Senior Vice President Approval:



Amy J. Wildermuth, designee

December 21, 2016

Date