

# **Retention, Promotion And Tenure Policy**

Department of Educational Leadership and Policy  
The University of Utah

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## **I. Goals of the RPT Policy**

The primary duties of the tenure-track faculty of the Department are to offer instruction in educational leadership and policy, to discover, construct and integrate knowledge useful to this field of scholarship, and to serve the educational community. The goals of this Department policy, therefore, are to build a faculty of outstanding scholars who possess diverse disciplinary perspectives and methodological strengths for studying and teaching educational leadership and policy at all levels.

Decisions regarding tenure have a long-lasting effect on the Department's quality. Therefore, each award of tenure and each promotion in rank must be considered an action of enduring significance for the Department as a whole, as well as for the individual professor. The personnel decisions of the Department, while based on the standards presented below, occur within the context of a professional community where trust is a necessary condition for our decision making. In making RPT decisions, the members of this professional community use the norms and values of our Department, of this Research University and of our professional field.

## **II. Criteria For Retention, Promotion And Tenure Decision**

Four scholarly roles, each undergirded by theoretical and applied knowledge considered essential to education, are important for assessing individual faculty contributions to this Department's mission. The activities enumerated under each of the four professorial roles are illustrative not exhaustive, and performance within each role must be judged as a whole.

### **A. The Scholar-Teacher**

In this role, professors create understanding, disseminate knowledge and develop expertise in students and professional colleagues. The following six functions are characteristic of the scholar-teacher:

1. Teaching courses and seminars.
2. Directing thesis and dissertation research.
3. Advising students.
4. Developing courses and instructional materials.
5. Publishing scholarly work about teaching and curricular development in our field
6. Developing and integrating service learning into the curriculum.

### **B. The Scholar-Researcher**

In this role, professors engage in activities that lead to the discovery, construction or integration of knowledge. Empirically based theory-building and theory-development are at one end of this continuum, and literature reviews and knowledge syntheses are at the other. The scholar-researcher's work includes:

1. Conducting theoretically grounded and/or discipline based empirical studies recognized as excellent by peers in the national and international community of scholars.
2. Conducting field-based or policy studies of educational or administrative practice.

3. Publishing in appropriate peer-refereed journals and writing or editing books published by university presses or scholarly publishing houses, usually provide the best evidence of achievement in research.
4. Securing governmental and foundation funds to support research
5. Bridging Departmental and disciplinary boundaries to create and test new knowledge
6. Integrating theory and practice by actively developing each in relationship to the other
7. Connecting scholars and ideas by editing professional journals, producing edited books, and writing reflective essays.

**C. The Scholar-Practitioner**

In this role, the professor engages in the substantive application of knowledge of theory in a manner that contributes both to knowledge refinement and leadership or administrative excellence in education. The following activities characterize the work of the scholar-practitioner:

1. Interpreting existing and new knowledge in light of changing local, national and global conditions and emerging administrative challenges
2. Forging mutually-supportive links with educational and public policy leaders
3. Developing and disseminating formal policy recommendations based on knowledge of education and leadership
4. Acting in leadership or administrative roles in public education, higher education or other educational settings

#### **D. The Scholar-Citizen**

In this role, the professor applies his or her professional knowledge and expertise to maintain and improve the organizational life and climate of the department, college, university and profession. These functions characterize the scholar-citizen:

1. Serving on university, state and national commissions, committees and task forces to improve the quality of education in society.
2. Serving on policy and advisory committees through which the university conducts much of its work.
3. Assisting Departmental colleagues in the pursuit of their professional development.
4. Using one's professional knowledge and skills to address problems in the larger communities - local, national and global - in which we live and work

*Note:* Achievements as a scholar-citizen are increasingly important in the senior ranks. Non-tenured faculty are advised to keep citizenship commitments within reasonable limits.

### **III. Standards For Retention, Promotion And Tenure**

#### **A. Nature and Identification of Departmental Standards**

The RPT Committee will rate a faculty member's achievement on each criterion at one of four levels: excellent, good, satisfactory and unsatisfactory.

##### **1. Scholar-Teacher criterion**

**Excellent:** The candidate has made important and sustained contributions in teaching. Over time, the candidate has demonstrated excellence with respect to course instruction, student advising and mentoring, and in development of the department's programs.

**Good:** The candidate has made significant contributions to the department in the areas of course instruction, student advising and mentoring, and program development.

**Satisfactory:** The candidate has made acceptable contributions in teaching for time in rank. The faculty member shows sufficient progress in the areas of course instruction, student advising and mentoring, and contributing to development of the department's programs such that the eventual contributions to these areas will be significant.

**Unsatisfactory:** The candidate has made insufficient contributions in the area of teaching given time in rank.

##### **2. Scholar-Researcher criterion**

**Excellent:** The candidate has made outstanding and sustained scholarly contributions to one or more programmatic areas of research in the field of educational leadership and policy. The contributions are programmatic, original, and consistent over time, and have established the individual as a recognized scholar in her/his programmatic area(s) of research.

**Good:** The candidate has made significant and sustained contributions in one or more programmatic areas of research. The quality and quantity of scholarship reflect a substantial and positive impact in these programmatic areas.

Satisfactory: The candidate has made acceptable scholarly contributions for time and rank. The quality and quantity of contributions to date suggest that significant contributions will be made over time.

Unsatisfactory: The candidate has made insufficient scholarly contributions given time in rank.

### 3. Scholar-Practitioner criterion

Excellent: The candidate has made outstanding and sustained contributions to the field of education through leadership in applying and interpreting knowledge in policy and leadership arenas.

Good: The candidate has made significant contributions to the field of education through leadership and in applying and interpreting knowledge in policy and leadership arenas.

Satisfactory: The candidate has made acceptable contributions to the field for time in rank and shows promise of making significant contributions.

Unsatisfactory: The candidate has made insufficient contributions to the field given time and rank and has demonstrated insufficient promise of making such contributions.

### 4. Scholar-Citizen criterion

Excellent: The candidate has contributed significantly to both the university community (defined as university, college and departmental levels) and the educational leadership profession (defined as educational leadership and policy professional associations) arenas and has made outstanding and sustained contributions in one of these arenas.

Good: The candidate has contributed substantially to both the university community and educational leadership profession arenas and has made significant contributions to one of these arenas.

Satisfactory: The candidate has made acceptable contributions to either the university community or the educational leadership profession for time in rank and shows promise of making substantive contributions.

Unsatisfactory: The candidate has made insufficient contributions to university and professional service given time and rank and has demonstrated insufficient promise of making such contributions.

**B. Standards for Retention-** see addendum (p. 19 & 20, approved 10/30/2009)

1. **Non-tenured Professors** - Those who hold the rank of Assistant Professor must possess an earned doctorate and meet other standards set by the Department. Standards for each formal evaluation for retention are as follows:
  - a. **Third-Year Retention** - For retention in the rank of Assistant Professor or Associate Professor without tenure for the third year, an incumbent must perform at a satisfactory level in all four scholarly roles: researcher, teacher; citizen, and scholar-practitioner.
  - b. **Fifth-Year Retention** - For retention in the rank of Assistant Professor or Associate Professor without tenure for the fifth year, the incumbent must perform at a good level in the roles of researcher or teacher and at a satisfactory level in the remaining three roles. It should be noted that those *initially* appointed in the Department to the rank of Associate Professor without tenure must stand for the mandatory tenure review in the fifth year
2. **Instructors** - Instructors who fail to complete the doctoral dissertation and all other degree requirements in a timely manner (typically defined as within one year of the initial appointment) will result in non-retention.

**C. Standards for Tenure**

Consistent with University Policy and Procedures IX (*Faculty Regulations*), all non-tenured positions are considered probationary and subject to periodic review until a decision is made for tenure or for non-retention. For the awarding of tenure, the incumbent must perform at an excellent level in the roles of researcher or teacher and at a good level in the remaining three roles.

**D. Standards for Promotion**

The Department's policies on promotion to the ranks of Assistant Professor, Associate Professor, and Professor are described below. (Procedures for promotion from instructor to Assistant Professor are covered in *PPM 9.2*)

1. **Promotion to Associate Professor with Tenure** - For Assistant Professors, a recommendation for tenure and promotion to Associate Professor will normally occur simultaneously. An Assistant Professor who is making good progress should receive a decision for promotion and tenure no later than the 7<sup>th</sup> year after his or her initial appointment to that rank (see *PPM 9.2*). For promotion to the rank of Associate Professor with tenure, a faculty member must perform at an excellent level in the roles of researcher or teacher and at a good level in the remaining three roles. Considerations for tenure will be based on those factors described above in Section C: *Standards for Tenure*.
2. **Promotion to Associate Professor without Tenure** - The promotion to Associate Professor without tenure is an unusual occurrence in the Department. Such promotions are seen as exceptions and are reserved for those individuals whose performance in non-research roles in educational organizations is judged as excellent. It should be noted that considerations for promotion without tenure are given soon after the time of hiring. For promotion to the rank of Associate Professor without tenure, the incumbent must perform at an excellent level in one of the following roles: researcher, teacher, citizen or practitioner and at a satisfactory level in the remaining three roles.
3. **Promotion to Professor**. For promotion to the rank of professor, a faculty member must perform at an excellent level in the role of researcher, an excellent level in two of the remaining three roles and a good in the remaining role. Professors must have achieved an excellent national reputation among scholars in educational leadership for the high quality of their research and publications.

**Note:** A tenured faculty review of associate and full professors is required no later than the fifth year in that rank, and every fifth year thereafter. The Department chair coordinates this review.

## IV. Review Procedures And Methods

The Department chair is responsible for seeing that the following schedule is followed and the appropriate persons are notified of their duties and deadlines.

### A. RPT Committee Composition and Voting Rights

1. **Committee membership eligibility** - For *retention decisions*, all tenure faculty members of equal or higher rank and all non-tenured regular faculty members of higher rank than that held by the candidate for retention are eligible to discuss and vote on recommendations for that candidate. For *promotion decisions*, all regular faculty members of equal or higher rank than that proposed for the candidate are eligible to discuss and vote on recommendations for that candidate. For *tenure decisions*, all tenured faculty members whose rank is equal to or higher than the rank currently held by the candidate for tenure, and all non-tenured regular faculty members of higher rank than that proposed for the candidate for tenure, are eligible to discuss and vote on that candidate (*Faculty Regulations*, V, Section 2-B). The Department chair will solicit and invite from SAC written recommendations regarding the candidate.
2. **Requirements for RPT chair** - The chair of the Departmental RPT committee must be a tenured member of the Department. All tenure-track members of the faculty are entitled to participate in the election of the RPT chair.
3. **Absentee voting** - If a quorum is present at RPT Committees meetings, then faculty members who cannot attend may submit written absentee ballots as well as written explanations of their views to the chair of the committee. To be valid, these documents must be received prior to the meeting at which voting occurs. The RPT committee chair should solicit absentee votes early enough to meet this requirement.

### B. Formal Reviews

1. **election of Departmental RPT chair** - The Department Retention, Promotion or Tenure Committee (RPT Committee), as defined in *Faculty Regulations* (Chapter V, Section 2B), will meet in March to elect its chair for the coming year.
2. **notification and solicitation of candidates to be reviewed** - In March of each

year, the Department and Departmental RPT Committee chairs will jointly identify and notify faculty for whom formal reviews are required by University regulations. They will likewise canvas the Department for faculty who wish to request a formal review. Policies regarding the timing of formal reviews include:

- a. **non-tenured Assistant Professors** - Formal reviews of non-tenured Assistant Professors will be conducted during the Fall Semester of the 3<sup>rd</sup>, 5<sup>th</sup>, and 7<sup>th</sup> years of service.
  - b. **non-tenured Associate Professors** - For non-tenured Associate Professors, a mandatory retention review will occur in the 3<sup>rd</sup> year of service. For those *not initially appointed* to this rank, a mandatory tenure review will also occur in the 5<sup>th</sup> year of service. Those individuals initially appointed to the rank of Associate Professor without tenure must stand for the mandatory tenure review in the 5<sup>th</sup> year.
  - c. **non-tenured faculty with unfavorable informal reviews** - The RPT committee may initiate a formal review of a non-tenured faculty member in interim years or following an unfavorable informal review consistent with notification requirements as specified by the office of the Senior Vice President for Academic Affairs.
  - d. **request for review by non-tenured professors** - A non-tenured professor may initiate a formal review in any year by submitting a letter of request to the Department chair by April 1<sup>st</sup> for a review to be undertaken in the Fall Semester of that same calendar year (PPM, 9-5.1).
3. **appointment of advisory committee for candidate** - The RPT chair will assist in creating a two-member advisory committee for each individual to be reviewed for retention, tenure or promotion. Both members are to be selected by the candidate in consultation with the RPT chair. All faculty are eligible to serve on this committee except the Department chair and Dean. The purpose of this advisory committee is to assist the candidate in effectively preparing his/her file.
  4. **submission of candidate's professional materials** - The faculty member under review should submit a professional statement (3-5 pages in length) that highlights his or her professorial achievements to date in each of the four domains of scholarship and identifies professional goals. Candidates should also submit an up-to-date *vitae*, a full set of publications and manuscripts under review, a summary of teaching evaluations, and any other materials important to their case.

5. **policy regarding submission of and access to candidate's file** - The candidate's file is due September 30<sup>th</sup> of the review year. Candidates may seek the advice of their advisory committee while preparing their materials. However, once these documents are submitted to the Department RPT Committee, changes in the file may be made only with the approval of the candidate, the Department RPT committee, and Department chair. If changes are made, the Department chair will add a memo explaining the change. No changes are permitted after the Department chair has submitted his or her report to the Dean.
6. **assessing candidate's file** - The Departmental RPT Committee will meet by October 20<sup>th</sup> to consider the candidate's file. The file will be assessed against the criteria and standards articulated earlier in this document (Sections II, III) and on the basis of multiple lines of evidence presented by the candidate and Department, e.g., the candidate's professional statement, *vitae*, publications, the review standards and processes of publications, external review letters, class syllabi, teaching evaluations and innovations, SAC report, etc.
7. **external reviewers and the formal review process** - The Department chair will seek written judgments from acknowledged authorities in the candidate's area of research for all formal reviews. These reviewers will be provided with the candidate's latest *vitae*; professional statement; representative articles, books and monographs; and a copy of the Department RPT criteria and standards. External reviewers will be asked to render judgments on the candidate's publications, professional standing and impact on the field.
  - a. **required number of external reviewers** - The minimum number of external reviewers is dependent on the type of review being conducted. The minimum number of external reviewers for each formal review is as follows: third-year review, 1 external letter; fifth-year review, 2 external letters; tenure and promotion review, 3 external letters.
    - 1) **retention reviews** - For the third-year review, the external reviewer will be selected by the Department and RPT chairs. For the fifth-year review, external reviewers will be selected by the Department chair and Department RPT chair from two lists. The first external reviewer will be selected from a list of five scholars generated by the candidate. This list should contain a minimum of five names. The second external reviewer is to be selected from a list of five scholars generated by the Department chair and Department RPT chair. The candidate will be given the opportunity to strike one name from the list of scholars generated

by the Department and Department RPT chairs.

- 2) **tenure and promotion reviews** - For tenure and promotion reviews, three (3) external letters are required. One external reviewer will be chosen by the Department and Departmental RPT chairs from a list of five nominees submitted by the candidate. Two external reviewers will be chosen by the Department chair and Departmental RPT chair from a list of five candidates generated by the chairs. The candidate may strike one name from the list of potential external reviewers generated by the chairs.
- b. **qualifications of external reviewers** - Unless their scholarship record is such that it is compatible with that being done at a research university, external reviewers must hold positions at leading research universities. External reviewers must also be *at or above* the rank for which the candidate is being considered.
  - c. **protecting the credibility of the external review process** - To protect the credibility of the external review process, the following procedures must be faithfully adhered to:
    - 1) **relationship of reviewers to candidate** - Those selected as external evaluators must not be or have been research or writing collaborators with the candidate *or* major professors of the candidate from graduate study.
    - 2) **candidate's access to external letters** - Candidates being reviewed must either: (1) explicitly waive their right to see external letters regarding their scholarship *or* (2) claim in writing their right to see such letters. A document recording the candidate's decision on this matter must accompany the external letters in the candidate's RPT file.
    - 3) **contact between candidate and external reviewers** - Candidates must refrain from discussing their retention, promotion or tenure case with external reviewers.
  - d. **maintaining confidentiality of external reviewers** - When RPT candidates have waived their right to read letters submitted by external reviewers about the quality of their scholarship, the names of these authorities must *not* be used in letters or reports prepared by the

Department RPT Committee or Department chair.

8. **role of SAC in assessment of teaching/advising** - In April, the chair of the RPT Committee will notify the SAC chair of SAC's responsibility to systematically assess the teaching and advising effectiveness of each professor being reviewed. Students who are selected by the SAC to participate in the preparation of reports on a faculty member's teaching and advising should exercise the highest professional standards of objectivity and fairness in carrying out their work. SAC reports must be submitted no later than September 9<sup>th</sup>.
  - a. **SAC chair's access to candidate files** - The SAC chair and other students he or she designates to assist in preparing teaching and advising assessments will be granted permission to review the sections of faculty members' RPT files that pertain to the scholarship of teaching, including professorial *vitae* and professional statements written for the RPT review.
  - b. **SAC to collect multiple lines of evidence/data** - Consistent with the University's guidelines as described in the document *Guiding Principles for Student Advisory Committee Evaluations of Faculty Members*, the SAC will gather and consider the following evidence of teaching and advising effectiveness: (1) student course evaluations for all classes and seminars taught, (2) materials that offer evidence of teaching creativity and quality (syllabi, examinations, reading lists, etc.) and (3) a broad range of assessment information about candidates' teaching and advising gathered from students and recent alumni of the Department's academic programs. SAC should use *thorough* and *systematic* data-gathering processes that are consistent from year to year.
  
9. **decision-outcomes for non-tenured Professors** - For non-tenured Professors, all formal reviews will lead to one of four outcomes:
  - a. **recommend for retention** - A decision to recommend retention of the individual on grounds that he or she has a reasonable chance to achieve tenure and promotion.
  - b. **not recommend for retention** - A decision to recommend non-retention of the individual on grounds that he or she is unlikely to achieve tenure.

- c.     **recommend for tenure and/or promotion** - A decision to recommend tenure and/or promotion.
  
- d.     **not recommend for tenure and/or promotion** - A decision in the final probationary year to recommend against tenure and, therefore, issue a terminal one-year contract.

10. **communication of RPT Committee decision to candidate** - The candidate will be notified of the Department RPT decision by letter no later than 14 days after the RPT Committee meets to decide on the candidate's file. The letter will include an assessment of the candidate's performance in the roles of scholar-researcher, scholar-teacher, scholar-citizen and scholar-practitioner, a summative judgment of his/her overall performance, and a recommendation to the Department chair.
11. **candidate's response to RPT Committee letter** - The candidate may respond in writing to the Departmental RPT Committee's letter and decision. This letter should be directed to the Department chair and must be submitted within ten days of the receipt of the RPT letter.

### C. Informal Reviews

1. **probationary period defined** - The probationary period will range from two to seven years for the individual initially appointed at the rank of Assistant Professor and from two to five years for those initially appointed at the rank of Associate Professor without tenure. Consistent with the University Policy and Procedures Manual (*Faculty Regulations*, Chapter V, Section 2), the Department will conduct either a formal or an informal review of all non-tenured faculty each year.
2. **purpose of informal reviews** - The purpose of the informal review is to provide candidates with: (1) an assessment of strength of performance and progress toward tenure and (2) recommendations for successfully moving toward tenure
3. **timing of informal reviews: non-tenured faculty** - Informal reviews of non-tenured faculty will be conducted in the Spring Semester during the 1<sup>st</sup>, 2<sup>nd</sup>, 4<sup>th</sup>, and 6<sup>th</sup> years of appointment *or* at alternative times as notified by the Department RPT committee.
4. **notification of informal review** - The RPT committee must give the candidate at least three weeks notice to prepare materials and documentation for submission.
5. **material required for informal review** - Because it is the Department's intention to make these informal reviews as straight-forward and simple as possible, the candidate will submit the following materials: a) a professional statement; b) a current *vitae*; and c) a summary of activities in the roles of

scholar-teacher, scholar-researcher, scholar-citizen and scholar-practitioner performed over the past year. Documentation prepared for merit pay consideration may fulfill requirement c).

6. **nature of the informal review process** - The RPT committee will review candidates' materials and hold informal interviews about his or her performance with the Department chair and with non-tenured members of the faculty.
  
7. **notification letter to candidate regarding the results of the informal review** - The non-tenured faculty member will be notified in writing of the results of the informal review no later than 14 days following the Department RPT committee meeting. The faculty member being reviewed may submit a written response to the Department chair within 10 days of receipt of the Department RPT committee letter.

## **V. Effective Date of Revised RPT Policy**

Non-tenured faculty have the option of being evaluated under the RPT policy in place at the time of initial appointment *or* under this revised policy as approved by the University. Tenured faculty are required to be reviewed using the guidelines outlined in this revised policy pending its approval by the University.

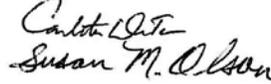
## **VI. Discriminatory Practices Prohibited**

The University of Utah is fully committed to policies of nondiscrimination and equal opportunity, and vigorously pursues affirmative action in all programs, activities, and employment with regard to race, color, national origin, sex, age, and disability. Religion, sexual orientation, and status as a disabled veteran or veteran of the Vietnam era also are protected under nondiscrimination and equal opportunity employment policies.

**Revised:** Approved by the Department Faculty on January 17, 2003.  
Approved February, 2003 by University of Utah RPT Committee

From: Carleton DeTar, Chair—University RPT Standards Committee, and Susan Olson,  
Associate Vice President for Academic Affairs

To: Professor David Sperry, Chair  
Department of Educational Leadership and Policy



Re: Approval of your proposed change of RPT review schedules

Date: November 4, 2009.

This memo notifies your department that an expedited approval has been given from the University RPT Standards Committee for a discrete change in your departmental RPT review schedule, more fully described in the attached memorandum through which you submitted this request. We approve the change in review schedule with the understanding that the approved change applies to Assistant Professors but not nontenured Associate Professors. It is also understood that the requirements for the 4th year review will be the same as the requirements in the original statement for the 5th year review, not the 3rd year—especially with respect to external reviewers.

To avoid any possible confusion about the effect of this approved change, among your RPT candidates or members of your RPT advisory committee, the following clarifications and actions are necessary.

1. This approval notice, as well as the memorandum in which your request is described, are to be attached to all copies of your departmental RPT Policy statement which are circulated to your faculty from this date, up until a more comprehensive revision of that Policy statement is finally approved by the RPT Standards Committee.
2. All faculty candidates who are coming up for a pretenure RPT review in the near future should now be given a copy of the above-described set of documents.
3. This approval is limited to the specific discrete change described in your memorandum requesting this expedited approval and is qualified as stated above.

At present, there is an ongoing process in which your department is preparing and proposing various other changes to your departmental RPT Policy statement. With the exception of the change approved here, continue to use your 2003 policy until the RPT Standards Committee has approved other revisions that you are proposing.

Cc: Dean Michael Hardman, College of Education



October 26, 2009

Dr. Michael Hardman, Dean  
College of Education  
225 Milton Bennion Hall  
CAMPUS

Dear Dean Hardman:

On April 21, 2009, the faculty of the Department of Educational Leadership and Policy in harmony with University policy unanimously agreed to change it RPT Policy from conducting formal reviews in the 3<sup>rd</sup>, 5<sup>th</sup>, and 7<sup>th</sup> years to the 4<sup>th</sup> and 7<sup>th</sup> years. Before this can formally go into effect, University policy requires your approval and that of the Office of the Associate Vice President for Faculty. Therefore, by means of this letter, I am soliciting your approval, and ask that you to forward it to Associate Vice President Susan Olson as quickly as possible. Your support and assistance is greatly appreciated.

Cordially,

David J. Sperry, Interim Chair  
Department of Educational Leadership and Policy

CC: Paul Smith, Chair of ELP Department's RPT Committee

I approve the RPT change being requested by the Department of Educational Leadership and Policy to alter their formal reviews to the 4<sup>th</sup> and 7<sup>th</sup> years as described above.

Michael Hardman, Dean  
College of Education

10/26/09

Date

Approved - 10/30/09  
Susan M. Olson

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Approved 10/30/09  
Carlyte Olson