

DEPARTMENT OF GEOLOGY AND GEOPHYSICS
DEPARTMENTAL POLICIES AND PROCEDURES FOR
RETENTION, PROMOTION AND TENURE

Revised: 5/2/02

Subject: Policies and Procedures for Retention, Promotion and Tenure of Regular
Faculty

Section 1

I. INTRODUCTION

A. Mission Statement. The mission of the Department of Geology and Geophysics includes the following: (1) training professional Earth scientists and geological engineers of the highest caliber; (2) providing science training for a broad range of university students using examples from Earth and environmental science; (3) generating new knowledge of the Earth and our environment through basic and applied scientific research; (4) disseminating knowledge of the Earth and our environment to the scientific community, the general public and government agencies; (5) exploring new technology and pedagogy for teaching in the Earth and environmental sciences.

B. Goals of the RPT Policy. The primary responsibility of the faculty of the Department of Geology and Geophysics (hereafter referred to as the Department) is to fulfill its mission in the University by teaching geology, geophysics, geological engineering and related fields and also by contributing to the advancement of these disciplines through original scholarly research. Accordingly, the goals of this departmental policy on retention, promotion and tenure (hereafter referred to as RPT) are to set standards for building a faculty of outstanding teachers with high levels of achievement in scholarly, creative research in geology, geophysics, geological engineering and related fields. It is the Department's duty to ensure that each decision regarding RPT be as effective as possible in achieving these goals.

C. University Policies. These departmental guidelines are intended to conform to and expand upon the University of Utah Policies and Procedures. (For details of the current University Policies and Procedures regarding RPT, see <http://www.admin.utah.edu/ppmanual/9/9-5-1.html>.)

II. CRITERIA FOR EVALUATION OF RPT CANDIDATES

It is the Department's view that excellence in university-level teaching and original scientific research are fundamental to a regular (tenure-track or tenured) faculty position. Accomplished and dedicated teaching and research are necessary for RPT in the Department. Thus, the requirements for RPT are substantial achievements and excellence in teaching and research. In addition, all faculty in the department need to be engaged in the governance of the Department, College and University and need to be involved in service to the scientific community and to the public. In all three areas of teaching, research and service, each faculty member is expected to develop and maintain a professional reputation of high caliber.

If a faculty RPT candidate holds an appointment in the Department that is less than 1.0 FTE (full-time equivalent) by virtue of a split appointment with another academic department in the University, or a major administrative appointment within the University (e.g., dean or vice president), or a part-time appointment in the University, that faculty member still is expected to excel in the areas of teaching, research and professional service. However, it is understood that the distribution of the faculty candidate's time and efforts among those three areas may differ appreciably from that of a faculty member who is a full 1.0 FTE in the Department. Therefore, the departmental RPT Committee will give special consideration when evaluating the relative merits of the faculty candidate's performance in the areas of teaching, research and service.

The following criteria are to be used by the departmental RPT Committee in assessing the contributions of faculty members to the achievement of the Department's mission and goals.

A. Evidence of Teaching Ability and Effectiveness. Because education of undergraduate and graduate students is the primary function of the university, excellence in teaching is expected at all levels. The major factors in good teaching include depth of knowledge of subject, logical preparation and organization of material, innovation and originality, effective presentation of the subject matter, and fair and appropriate assessment of student performance. Each of these factors should be encouraged, and no one factor emphasized at the expense of others. The ultimate welfare of the student must be considered, and emphasis should be placed on encouraging students to think independently and develop analytic problem solving skills.

A.1. Achievements as a teacher. All of the following five areas must be considered in the RPT review of a faculty candidate:

- (i) Teaching of undergraduate-level courses in geology, geophysics, geological engineering and/or related fields.
- (ii) Teaching of graduate-level courses in geology, geophysics, geological engineering and/or related fields.
- (iii) Supervision of graduate students in thesis and dissertation research.
- (iv) Development of effective teaching methods, innovative teaching materials and new courses.
- (v) Professional reputation for excellence as a university teacher, as judged by the candidate's students and faculty peers.

A.2. Specific criteria for evaluating an RPT candidate's performance in teaching. The RPT Committee will consider pertinent information gathered in several of the following ways. The first six criteria listed below (i through vi) must be considered, and any number of the remainder of the criteria (vii through xvi) may be considered, if applicable.

[Teaching criteria that *must* be considered:]

- (i) Review of the Student Advisory Committee (SAC) report regarding the faculty candidate (required only for formal reviews).
- (ii) Assessment of student course evaluations.
- (iii) Examination of formal course materials (e.g., course syllabus, handouts, written assignments, lab exercises and exams) by the RPT Committee.
- (iv) Assessment of the quality of graduate student theses and dissertations that were directed by the RPT candidate.

(v) The RPT candidate's participation as a member of thesis and dissertation committees in this Department, as well as in other departments at the University or in other departments at other universities.

(vi) Any written input to the RPT Committee by the faculty candidate himself/herself regarding his/her own teaching philosophy and teaching performance.

[Teaching criteria that *may* be considered:]

(vii) Interviews with selected students (current and/or former) who have had the professor in formal courses. This information might include interviews conducted by one or more members of the RPT Committee and/or input from the Department chairman stemming from routine exit interviews with graduating students.

(viii) Interviews with selected students (current and/or former) who have received guidance and direction from the professor in independent research projects, including thesis and dissertation research. This information might include interviews conducted by one or more members of the RPT Committee and/or input from the Department chairman stemming from routine exit interviews with graduating students.

(ix) Direct observation of the RPT faculty candidate by one or more RPT committee members in a classroom, laboratory and/or field trip teaching situation.

(x) Recognition of extra efforts by the professor in providing educational experiences for his/her students or other individuals outside the normal classroom setting (e.g., leading field trips, teaching special courses at professional society meetings, or teaching short courses for local industries or government agencies).

(xi) Expansion and/or enhancement of departmental teaching collections of rocks, minerals, fossils and/or other educational materials.

(xii) Development and employment of novel teaching methods, teaching materials and/or teaching technologies.

(xiii) Development and initiation of new undergraduate-level and/or graduate-level courses.

(xiv) Special honors or awards given to the RPT candidate specifically for teaching-related activities by the Department, College, University or national or international organizations.

(xv) Success in obtaining grants from internal funding sources (e.g., University Teaching Committee) and/or external funding sources (e.g., NSF) specifically for the enhancement of teaching-related activities in the University.

(xvi) Active participation in extra-departmental, university, or national organizations, workshops or conferences that are devoted principally to the enhancement of teaching effectiveness.

B. Evidence of Scholarly Research and Related Creative Activities. Every faculty member is expected to engage in original scholarly research and creative activities related to his/her field of major interest in geology, geophysics and/or geological engineering, as well as in other related fields in Earth science. Excellence in research contributions is expected of all faculty members.

B.1. Achievements in scientific research. All of the following four areas must be considered in the RPT review of a faculty candidate:

(i) Outstanding professional reputation and creative contributions to research in geology, geophysics, geological engineering and/or related fields, as assessed by the candidate's peers in the international community of scientists and engineers.

- (ii) A substantial record of research publications, as assessed by the quality and quantity of published research articles, by the significance and editorial standards of the journals in which they appear, and by the quality of textbooks written.
- (iii) Presentations of research papers at regional, national and international scientific meetings.
- (iv) Development and maintenance of an independently funded, nationally recognized research program that attracts and supports top-caliber undergraduates, graduate students and/or post-doctoral researchers.

B.2. Specific criteria for evaluating an RPT candidate's performance in scholarly research.

The RPT committee will consider the candidate's particular field of major interest, the complexities of the scientific problems related to it, the significance of the candidate's contributions, and the journals in which articles are published. In those instances where little or no history of research achievement in the Department has been recorded by virtue of a candidate's short time in the Department, the RPT Committee logically should consider promise of scholarly or creative ability. The RPT Committee will consider pertinent information gathered in several of the following ways. The first five criteria listed below (i through v) must be considered, and any number of the remainder of the criteria (vi through xvii) may be considered, if applicable.

[Research criteria that *must* be considered:]

- (i) Examination of external letters of recommendation from research colleagues and/or from other current workers in the candidate's primary field of research (required only for formal reviews).
- (ii) Evaluation of the candidate's research publications in peer-reviewed journals, judged in terms of numbers of scientific papers, technical abstracts and research reports published per year, as well as the length and significance of the candidate's papers, abstracts and reports, which should be judged in part by the significance, stature and editorial standards of the journals in which they appear.
- (iii) Assessment of a representative selection of the candidate's published manuscripts, as determined by having one or more *ad hoc* review committee members read and comment upon them.
- (iv) Success in securing research funding from external (government and/or private) sources, judged in terms of the numbers of grants and contracts and amounts of funds generated.
- (v) Success in attracting top-caliber graduate students for the candidate's research program, judged in terms of numbers of students attracted and the stature of the schools they came from.

[Research criteria that *may* be considered:]

- (vi) Regular attendance and participation in scientific conferences, workshops and conventions.
- (vii) Invited papers presented at symposia and research conferences.
- (viii) Invited chapters for refereed books or invited papers for special issues of peer-reviewed scientific journals.
- (ix) Reports, essays, reviews and other non-refereed publications that pertain to the candidate's scholarly interests in Earth science.
- (x) Special awards, appointments or other honors for research achievements presented by the Department, College and/or University.
- (xi) Medals, special awards or other honors for research achievements presented by professional societies, government agencies, civic organizations, or other pertinent organizations.

- (xii) Special mention, recognition or citation of the candidate's research results by other scientists in pertinent books, review papers or news articles are considered favorably.
- (xiii) A review of the candidate's research contributions cited in the Science Citation Index.
- (xiv) "Best Paper" awards and similar honors for the candidate's published papers or for his/her papers presented at technical meetings.
- (xv) Success of the candidate's students in receiving external recognition for their graduate research, such as "Best Paper" awards, and/or in securing appropriate professional employment after graduation.
- (xvi) If the RPT candidate has presented a departmental seminar on his/her current research activities in the year prior to the review, comments from people who attended that seminar.
- (xvii) Intellectual stimulation provided to other members of the Department and University.

C. Evidence of Professional Service. Each faculty member is expected to be actively engaged in the governance of the Department, College and University, including attendance and participation in committee work and faculty meetings. Service to scientific and professional societies, service in editorial functions, service to civic and governmental organizations and related activities also are expected of faculty in the Department. It is the Department's policy that administrative and public service should not constitute such an inordinate fraction of an untenured faculty member's work load that it detracts appreciably from his/her performance in the areas of teaching and research.

C.1. Achievements in service. Both of the following areas must be considered in the RPT review of a faculty candidate:

- (i) Professional service to the University of Utah.
- (ii) Professional service to the scientific community and the public beyond the University.

C.2. Specific criteria for evaluating an RPT candidate's service to the University. The RPT Committee will consider pertinent information gathered in several of the following ways. The first two criteria listed below (i and ii) must be considered, and any number of the remainder of the criteria (iii through vi) may be considered, if applicable.

[University service criteria that *must* be considered:]

- (i) Regular participation in Departmental, College and/or University faculty meetings.
- (ii) Service as a member or chair of Departmental, College and University committees, councils, centers and task forces.

[University service criteria that *may* be considered:]

- (iii) Service as departmental Undergraduate Advisor, Graduate Advisor, RPT Committee Chair, or other major administrative position in the Department.
- (iv) Service as an elected member of the Academic Senate.
- (v) Formal administrative appointment in the Department (e.g., as chair or associate chair), College (e.g., as dean or associate dean) or University (e.g., as vice president or associate vice president).
- (vi) Participation in service-learning courses (e.g., as offered by the Bennion Center or the Utah Museum of Natural History).

C.3. Specific criteria for evaluating an RPT candidate's service to the profession and public. The RPT Committee will consider pertinent information gathered in several of the following ways. Any of the following eleven criteria (i through xi) may be considered, if applicable.

[Professional and public service criteria that *may* be considered:]

- (i) Service as a member or chair of committees, councils, task forces, panels and/or advisory boards of civic organizations, government agencies or other academic institutions.
- (ii) Service as a member or chair of committees, councils, foundations and/or editorial boards of professional scientific and/or engineering societies or organizations.
- (iii) Service as a reviewer of manuscripts for journals or other scientific publications.
- (iv) Service as a reviewer of research proposals for private and/or government funding agencies.
- (v) Service as an editor or associate editor of a professional journal, symposium volume or book.
- (vi) Service as an elected officer of a professional society or association.
- (vii) Presentation of special lectures for various organizations, including professional, civic and government organizations and other educational institutions.
- (viii) Responding to reasonable requests from school groups, civic organizations and individuals from the general public for professional opinions or professional assistance in the candidate's area of scientific expertise.
- (ix) Special honors, awards or medals from professional, civic or government organizations.
- (x) Special honors, awards or honorary degrees from other academic institutions.
- (xi) Service as a technical consultant for professional, civic, government or educational organizations.

III. PROCEDURES FOR DETERMINING PERFORMANCE WITH RESPECT TO THE RPT CRITERIA

This section establishes the procedures and calendar for evaluation of the RPT decision process in the Department. Each faculty RPT candidate should be accorded due process, which in turn requires that the aforementioned RPT criteria (Section II) be considered, weighed carefully and commented upon in any report by a review committee. The welfare of the students, the Department, the College, the University and the individual RPT candidate all require consideration.

Once the RPT process in the Department is finished, the complete RPT file of a faculty candidate will consist of the following: the candidate's current curriculum vitae, a complete set of published research papers, the candidate's description of his/her current and proposed research activities, a list of the candidate's current and former graduate students (including their thesis and/or dissertation titles), the candidate's own letter summarizing his/her accomplishments in teaching, research and service (optional), the SAC report (if for a formal review), the candidate's response to the SAC report (optional), the RPT Committee's recommendation, the Department chair's recommendation, and the RPT candidate's response to the RPT Committee's recommendation and/or the Department chair's recommendation (optional).

A. Responsibilities of the Department Chair. It is the responsibility of the Department chair to see that the following RPT procedures are employed, that the calendar is adhered to, that all pertinent materials are obtained and kept secure in an appropriate manner, and that appropriate persons are notified at each stage of the process. The Department chair may delegate some of

the routine clerical tasks of typing, record keeping, etc., to a departmental staff member (*e.g.*, the chair's executive secretary), who will be instructed as to the seriousness and confidential nature of the RPT business and documents.

A.1. Spring Semester. During each Spring Semester, the department chair will send a letter to all regular faculty members in the Department in order to invite nominations for promotion and/or tenure of eligible individuals in the Department. Nominations for promotion may come from any regular faculty member in the Department of a rank equal to or higher than the rank to which the individual faculty candidate is being nominated for promotion. Nominations for tenure may come from any regular faculty member who already holds tenure in the Department, regardless of faculty rank. In addition, a faculty member who is eligible for promotion and/or tenure may nominate himself/herself. Upon receipt of a nomination for promotion and/or tenure, the Department chair will inform the departmental RPT Committee chair of the nomination.

The Department chair will consult with and advise the RPT Committee chair in appointing the members and chairs of *ad hoc* subcommittees for the informal and formal reviews of individual RPT candidates for the coming year.

The Department chair will consult with the chairs of the *ad hoc* subcommittees regarding the external reviewers of the RPT candidates who are undergoing formal reviews (See Section III-D in this document). In the case of a formal RPT review, the Department chair will write to the subcommittee's list of potential external reviewers and request from each of them a letter of recommendation regarding the particular retention and/or promotion and/or tenure action for which the candidate has been nominated. This should be done in the late spring or early summer, in order to optimize the chances of receiving the letters of recommendation from external reviewers well in advance of the RPT deliberations in the Fall Semester.

Prior to requesting letters of recommendation from potential external reviewers, the Department chair should ask the RPT candidate to sign a written statement specifying whether or not he/she waives the right to access the external letters. Based on this response of the RPT candidate, the potential external reviewers will be explicitly notified whether or not their letters of recommendation will be accessible to the RPT candidate.

A.2. Fall Semester. Early in Fall Semester, the Department chair should consult with the RPT Committee chair to determine the status of the process of compiling the materials for the RPT files of each of the RPT candidates. If some of the requested external letters of recommendation have not been received by the beginning of the Fall Semester, the Department chair will attempt to contact the unresponsive reviewers and encourage them to submit their letters in timely fashion.

In the case of a formal RPT review (but not an informal review), the effectiveness of a faculty RPT candidate will be assessed by the departmental Student Advisory Committee (hereafter referred to as the SAC). No later than the beginning of the Fall Semester, the Department Chair will notify the SAC officers of the need for formal input regarding the faculty candidate(s) under review. The Department chair will ensure that the SAC provides its formal report to the Department chair at least two weeks prior to the meeting of the RPT Committee at which the candidate's case for RPT is scheduled to be presented and decided upon. The Department chair will give a copy of the SAC report to the faculty candidate, who may submit a

written reaction or response the SAC report to the Department chair within seven days. Then the Department chair will submit the SAC report and any response from the RPT candidate to the RPT Committee at least one week before the scheduled date of the RPT Committee meeting.

After the RPT Committee has reached a decision regarding an RPT Candidate, the Department chair will receive the RPT file (including the RPT Committee's recommendation) back from the RPT Committee. Then the Department chair will prepare his/her own written recommendation to be included in the RPT file of the faculty candidate, including the chair's specific reasons for the recommendation.

Prior to forwarding the RPT file to the dean of the College, the Department chair should send to the faculty candidate an exact copy of the letter containing the Department chair's recommendation and explanation and an exact copy of the letter containing the Department RPT Committee's recommendation and explanation. At this point, the candidate will have the opportunity, but not obligation, to add a written statement to his/her RPT file in response to the report of the Department RPT Committee and/or the recommendation of the Department chair. Written notice of this option shall be included with the copies of the Department chair's evaluation and RPT Committee's report that is sent to the RPT candidate. If the candidate chooses to add such a statement to his/her RPT file, that statement must be submitted to the Department chair within seven days (except in extenuating circumstances) of the date upon which the Department chair's recommendation is delivered to the candidate. If the RPT candidate submits a written statement to the Department chair within this time limit, the candidate's statement will be added to the formal RPT file without comment by the chairperson. The Department chair then will forward the entire RPT file to the dean of the College. At that point, the Department chair's business with that particular RPT action will be considered to be finished.

B. Responsibilities of the Department Student Advisory Committee (SAC). For a faculty RPT candidate undergoing a formal RPT review, the SAC will review pertinent information regarding the faculty candidate's teaching performance, which may include direct observations of the faculty candidate in a formal classroom situation, in a lab session, on a field trip, and/or in other instructional settings. The SAC should endeavor to obtain additional input regarding the faculty candidate's teaching effectiveness from formal student course evaluations, informal opinions of current students, interviews with former students, and any direct information that indicates the progress achieved and/or knowledge acquired by students in the faculty candidate's courses. The SAC will submit its formal written report to the Department chair at least two weeks prior to the meeting of the RPT Committee at which the candidate's case for RPT is scheduled to be presented and decided upon. At that point, the SAC's business with that particular RPT action will be considered to be finished.

Input from the SAC is not required for an informal RPT review. However, in an unusual circumstance, the SAC may decide to submit a report to the RPT Committee for an informal review, if it wishes to do so.

C. Responsibilities of the Department RPT Committee. As defined in the Faculty Regulations, the Department Advisory Committee on Retention, Promotion and Tenure (hereafter referred to as the RPT Committee) consists of all regular (tenured and untenured tenure-track) faculty in the Department, minus the Department chair and any other departmental

faculty member who holds a University administrative appointment, such as Dean or Senior Academic Vice President, which requires that person to consider and vote on a departmental RPT action at another level beyond the Department. All members of the RPT Committee may participate in Committee meetings and votes regarding general RPT policies and procedures and the election of the RPT Committee chair.

For retention considerations, all tenured faculty members of equal or higher rank and all untenured regular faculty members of higher rank than that held by the candidate for retention are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of retention. For promotion, all regular faculty members of equal or higher rank than that proposed for the candidate for promotion are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of promotion. For tenure, all tenured faculty members whose rank is equal to or higher than the rank currently held by the candidate for tenure, and all untenured regular faculty members of higher rank than that proposed for the candidate for tenure, are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of tenure.

C.1. Spring Semester. During each Spring Semester, the RPT Committee chair will convene a meeting to elect a new RPT Committee chair, who will serve for a term of one year (which may be repeated multiple times, if elected in subsequent years) until the next RPT Committee chair is elected. At the meeting, the RPT Committee will determine those individuals for whom informal and formal reviews are required in the coming year. The RPT Committee chair will consult with the Department chair to learn if any individuals who are eligible for promotion and/or tenure have been nominated, either by themselves or by another faculty member.

In consultation with each faculty RPT candidate and the Department chair, the RPT Committee chair will appoint an *ad hoc* subcommittee for each of the individuals under review for RPT in that year, and any *ad hoc* subcommittee chairs as required. Members of *ad hoc* subcommittees must be tenured faculty members of higher rank than the RPT candidate. Generally, an *ad hoc* committee for an informal review will consist of one regular faculty member, and an *ad hoc* committee for a formal review will consist of three regular faculty members, one of whom will be appointed by the RPT Committee chair to serve as the *ad hoc* subcommittee chair.

The chair of the RPT Committee will request that each RPT candidate who is being reviewed, in either an informal or formal review, submit his/her current curriculum vitae, a complete set of preprints and reprints of published research papers, a description of current and proposed research activities, and a list of the current and former graduate students who have been supervised (and their thesis and/or dissertation titles). In addition, the RPT Committee chair will invite the RPT candidate to submit a letter summarizing his/her teaching, research and service accomplishments that pertain to the RPT considerations. While optional, such a letter will be strongly encouraged of the RPT candidate. All of this material will constitute the individual's RPT file, and it will be held and reviewed by the individual's *ad hoc* subcommittee and will be available for review by any member of the departmental RPT Committee of higher faculty rank than the RPT candidate. At any time up until the RPT Committee meets to consider an individual's case, the RPT candidate may provide additional information or request a conference with his/her *ad hoc* subcommittee. However, once the RPT Committee has opened its formal meeting in the Fall semester to consider a particular RPT case, the RPT file of the candidate will

be considered to be closed, and the candidate may not submit any additional information after that point.

In order to assess the quality of a faculty member's research, the candidate's *ad hoc* subcommittee will review copies of his/her publications and will seek opinions of international experts in his/her area of research. The subcommittee will look for evidence of outstanding and original achievement and will compare the faculty member's record in this regard with the records of other geologists, geophysicists and/or geological engineers at a comparable stage professional rank.

C.2. Fall Semester. Early in Fall Semester, the RPT Committee chair should consult with the *ad hoc* subcommittee chairs to determine the status of the process of compiling the materials for the RPT files of each of the RPT candidates. Also, the RPT Committee chair should consult with the Department chair regarding the status of responses received from the external reviewers.

When the RPT files of the faculty candidates are completed, including the external letters of recommendation if for a formal review, the RPT Committee chair will call a meeting of the RPT Committee. This should be done as early as possible in Fall Semester. Members of the RPT Committee should receive written notice of the meeting at least one week ahead of time. Committee members who are unable to attend the meeting may submit an absentee ballot in writing to the RPT Committee chair prior to the meeting, but *not* after the conclusion of the meeting. The contents of any absentee ballots will not be revealed to the rest of the Committee members until after a vote has been taken by the members attending the meeting.

The RPT Committee meeting will be closed to everyone except for RPT committee members who are eligible to participate, and all oral discussions during the meeting will be treated as strictly confidential. Normally the Department chair will not attend this meeting, but he/she may be invited to attend the meeting for information purposes only if invited to do so as a result of a majority vote of the members of the RPT Committee present at the meeting. The RPT Committee chair may or may not appoint a member of the Committee to take unofficial notes during the meeting for the sole purpose of aiding in the subsequent writing up of the explanation of the final decision of the RPT Committee after the conclusion of the meeting. If such notes are taken, they will be kept strictly confidential and will not be made accessible to anyone outside the committee, including the RPT candidate himself/herself, and they will be destroyed once the Committee's final report is written. The unofficial notes will not be included as part of the official RPT file.

The RPT Committee chair will serve as chair of the RPT Committee meeting, and standard parliamentary procedures will be employed. The RPT Committee chair will invite the *ad hoc* subcommittee for each RPT candidate to present the case for the appropriate retention and/or promotion and/or tenure action for each candidate. The complete RPT file for the candidate, including the SAC report (if for a formal review), will be presented and discussed.

When the discussion by the RPT Committee is concluded, a vote on the RPT action will be taken by secret ballot. After the results of the secret ballot are reported to the Committee members, the results of any absentee ballots will be reported to the Committee members. If a faculty candidate is being considered for promotion and tenure, separate votes will taken on the questions of promotion and tenure. A positive vote for either promotion or tenure constitutes an

implicit positive vote on retention, so no separate vote on the question of retention is required in that case. However, if the votes on both promotion and tenure are negative, then a separate vote on retention is required, unless it is in the faculty candidate's seventh year. A negative vote on the question of tenure in the candidate's seventh year constitutes an implicit negative vote on retention, so no separate vote on the question of retention is required in that case.

After the conclusion of the RPT Committee meeting, the RPT Committee chair will prepare a written report of the Committee's recommendation, including a count of the "Yes", "No" and "Abstain" votes, and also a written explanation of the reason(s) for that vote by the RPT Committee. This report and explanation will be signed by the RPT Committee chair on behalf of the whole RPT Committee, and it will be made available for scrutiny by members of the RPT Committee for a minimum of two days for the purpose of allowing Committee members to suggest changes to ensure accuracy. Following this, the Committee's report will be placed in the candidate's RPT file and submitted to the Department chair. At that point, the RPT Committee's business with that particular RPT action will be considered to be finished. Normally this process should be concluded before the beginning of November in Fall Semester, so that the rest of the RPT process (*i.e.*, at the levels of the Department chair, the College and the University) may proceed to an ultimate conclusion in timely fashion.

Note that the contents of the RPT Committee's report and results of the RPT Committee's vote regarding a faculty candidate's RPT action are to be submitted directly to the Department chair, who then will convey the report and vote to the faculty candidate. No member of the RPT Committee, including the Committee chair, should convey that information to the faculty candidate until he/she has been informed by the Department chair. Furthermore, at no time should any member of the RPT Committee discuss with the faculty candidate any specific items that were said orally in the RPT Committee meeting, beyond that which is stated explicitly in the RPT Committee's formal written report.

D. Policy concerning external letters of recommendation. Objective opinions of an RPT candidate's scholarly achievements and professional reputation are important aspects of the RPT process. It is the policy of the Department that external reviewers from whom letters of recommendation are solicited must be recognized as leading experts in the candidate's field of research. However, it is not necessary to obtain such input from outside the Department during each and every year of an untenured faculty member's pre-tenure probationary period. Thus, unless specifically requested by an RPT candidate who is undergoing an informal review, external letters of recommendation will not be solicited for an informal RPT review.

External letters of recommendation will be solicited for all RPT candidates who are undergoing formal reviews. If the formal review is for retention only (without promotion and/or tenure), a minimum of two letters will be obtained from reviewers outside the Department, which may come from other units within the University and/or from other institutions outside the University. If the formal review is for promotion and/or tenure, a minimum of four letters will be obtained from reviewers outside the Department, and the majority of those letters must be from individuals outside the University. The RPT Committee may not proceed to reach a final decision on the formal review of a candidate unless at least two solicited external letters have been received and reviewed for a retention consideration (without promotion or tenure) or at least four solicited external letters have been received and reviewed for a promotion and/or tenure consideration.

In order to be considered by the RPT Committee, the external letters of recommendation must have been written and received by the Committee before the beginning of the Committee meeting in which the RPT action will be discussed and voted upon, but no earlier than nine months before that Committee meeting. In other words, letters of recommendation used in an RPT review during a given year may not be used in RPT reviews in subsequent years.

The procedure for soliciting external letters of recommendation will be as follows. The chair of the *ad hoc* subcommittee for an RPT candidate who is undergoing a formal review will request from the candidate a written list containing the names and affiliations of potential external reviewers, along with a very brief explanation of each of those person's professional qualifications in the context of the RPT review. In the case of a formal review for retention only (without promotion and/or tenure), this list may include a maximum of three names. In the case of a formal review involving promotion and/or tenure, this list may include a maximum of five names. This list of names suggested by the RPT candidate will become a part of the candidate's RPT file.

The *ad hoc* subcommittee members will consider the RPT candidate's list of potential reviewers in a closed session and will select some names from the candidate's list. The subcommittee members will add other names of individuals who would be qualified to review the candidate's RPT file but who were not suggested by the candidate himself/herself. Letters will be sought from at least one of the names on the candidate's list if the formal review is for retention only, or will be sought from at least two of the names on the candidate's list if the formal review is for promotion and/or tenure. Letters will be sought from at least one person *not* included on the candidate's list if the formal review is for retention only, or will be sought from at least two persons *not* included on the candidate's list if the formal review is for promotion and/or tenure. The *ad hoc* subcommittee chair will submit the complete list of names of potential external reviewers to the Department chair, who then will request letters of recommendation from those individuals. Such solicited letters of recommendation should be addressed to the Department chair, who will submit them to the RPT Committee chair as soon as they are received in the office of the Department chair.

If the RPT candidate has waived his/her right to access to the solicited external letters of recommendation, the RPT candidate will not be allowed to read the letters, nor will he/she be notified of the names of the persons from whom the letters have been requested.

If unsolicited letters from individuals outside the Department are received by either the Department chair or the RPT Committee chair, the faculty candidate will be given the right to read any such letters and submit a written reaction or response to the RPT Committee. The unsolicited letter and the faculty candidate's response both will be placed in the candidate's RPT file prior to the RPT Committee meeting.

E. Distinction between Informal and Formal Reviews. This section summarizes and clarifies the distinction between informal and formal RPT reviews in the Department.

Informal reviews will be conducted in the pre-tenure probationary years when a formal review is not conducted. Informal reviews may be conducted for retention considerations only. External letters of recommendation and a formal report from the SAC are not required. The *ad*

hoc subcommittee for a given faculty candidate normally will consist of just one person. If the recommendation of the RPT Committee is for retention, the written report of the RPT Committee will be submitted to the Department chair, who will convey it to the RPT candidate and will place it in the candidate's permanent file in the Department. The report will not be submitted to administrative levels beyond the Department (*i.e.*, it will not go on to the College RPT Committee, the Dean, or the Senior Academic Vice President). If the recommendation of the RPT Committee is for non-retention, a formal retention review will be initiated immediately, and that formal review will follow all the normal procedures for a formal review as stipulated elsewhere in this document.

Formal reviews must be conducted for all promotion and tenure considerations. Formal reviews also must be conducted for retention considerations in the third year of an untenured faculty member's pre-tenure probationary period, whether or not a nomination for promotion and/or tenure has been offered, and in at least one more year after the third year and before the untenured faculty candidate's seventh year. Formal reviews may be conducted for retention considerations in other years of an untenured faculty member's pre-tenure probationary period if specifically requested by the faculty candidate himself/herself or by a majority vote of the RPT Committee.

External letters of recommendation and a formal SAC report are required for all formal reviews. The recommendation of the RPT Committee that results from a formal review may be for or against retention, for or against promotion, and for or against tenure. The written report of the RPT Committee will be submitted to the Department chair, who will convey it to the RPT candidate. After the Department chair adds his/her own recommendation to the RPT file, it will be submitted through appropriate administrative channels beyond the Department (*i.e.*, to the College RPT Committee, the Dean, and the Senior Academic Vice President).

IV. POLICY ON RETENTION, PROMOTION AND TENURE

A. Departmental Policy on Retention. The Department RPT Committee may recommend retention of an untenured faculty member as a result of an informal or formal retention review, if the Committee believes that the faculty candidate is performing satisfactorily in teaching, research and professional service and also shows reasonable promise of achieving tenure in the Department in a subsequent year. The Department RPT Committee may recommend non-retention for an untenured regular faculty member as result of a formal retention review which finds unsatisfactory or unacceptable performance of the faculty member in teaching, research and/or professional service.

B. Departmental Policy on Promotion. This section details the Department's policies on promotion to the regular faculty ranks of associate professor and professor. (Because tenure-track faculty members in the Department normally are appointed at the rank of assistant professor, or higher rank, there is no need for a policy regarding promotion to assistant professor.)

B.1. Associate Professor. As a general rule in the Department, an assistant professor will be considered eligible to be nominated for promotion to associate professor no earlier than the third year and no later than the seventh year of the faculty member's employment as an assistant professor at the University of Utah. Normally an assistant professor would not be nominated for

promotion before the fifth or sixth year in that rank, but special circumstances, such as truly exceptional performance and/or employment as an assistant professor at another institution prior to his/her appointment at the University of Utah, may be considered when deciding to nominate a faculty member for promotion.

The Department RPT Committee may recommend promotion of a faculty member to the rank of associate professor as a result of a formal review, if the Committee believes that the faculty candidate is demonstrating outstanding performance in all three areas of teaching, research and professional service, as judged according to the specific criteria set forth in earlier parts of this document. At a minimum, in order to be considered favorably for promotion, the assistant professor must have demonstrated the following: shown himself/herself to be a committed and effective teacher at both the undergraduate and graduate levels; served as an effective supervisor of graduate students in their thesis and/or dissertation research; achieved a substantial record of original scientific and/or engineering publications in peer-reviewed journals and/or books; established an externally funded research program involving students; participated in important regional and national scientific and/or engineering meetings and research conferences; and participated cooperatively and effectively in direct service to the University, the profession and public. In recommending a faculty member for promotion to the rank of associate professor, an expectation of sustained excellence in teaching, research and service is implicit.

In the case of an assistant professor, it is the Department's general policy that a recommendation for promotion to associate professor and a recommendation for the award of tenure will occur at the same time, even though separate votes must be taken for promotion and tenure by the RPT Committee. Nevertheless, it is possible, although unusual, for special circumstances to warrant promotion of an assistant professor to the rank of associate professor without tenure, or to recommend tenure for an assistant professor without promotion at the same time. If this occurs, the RPT Committee's written report must explicitly explain the reason(s) why promotion and tenure are not being recommended in the same year.

B.2. Professor. As a general rule in the Department, an associate professor will be considered eligible to be nominated for promotion to professor no earlier than the third year of the faculty member's employment as an associate professor at the University of Utah. Normally an associate professor would not be nominated for promotion before the fifth or sixth year in that rank, but special circumstances, such as truly exceptional performance and/or employment as an associate professor at another institution prior to his/her appointment at the University of Utah, may be considered when deciding to nominate a faculty member for promotion.

The Department RPT Committee may recommend promotion of a faculty member to the rank of professor as a result of a formal review, if the Committee believes that the faculty candidate has demonstrated a sustained period of outstanding performance in all three areas of teaching, research and professional service, as judged according to the specific criteria set forth in earlier parts of this document. At a minimum, in order to be considered favorably for promotion, the associate professor must have demonstrated the following: shown himself/herself to be a committed and effective teacher at both the undergraduate and graduate levels; served as an effective supervisor of graduate students in their thesis and/or dissertation research; sustained a substantial record of original scientific and/or engineering publications in peer-reviewed journals and/or books; maintained an externally funded research program involving students;

participated regularly in important national and international scientific and/or engineering meetings and research conferences; and participated continuously and effectively in direct service to the University, the profession and public. In recommending a faculty member for promotion to the rank of professor, an expectation of sustained excellence in teaching, research and service is implicit.

In the case of an untenured associate professor (*e.g.*, a person who was appointed to the faculty at the rank of associate professor without tenure), it is the Department's general policy that a recommendation for promotion to professor and a recommendation for the award of tenure will occur at the same time, even though separate votes must be taken for promotion and tenure by the RPT Committee. Nevertheless, it is possible, although unusual, for special circumstances to warrant promotion of an associate professor to the rank of professor without tenure. If this occurs, the RPT Committee's written report must explicitly explain the reason(s) why promotion and tenure are not being recommended in the same year.

C. Departmental Policy on Tenure. The award of tenure to a faculty member is considered to be a serious and important action in the Department, as it constitutes an affirmation of that person's past and future contributions to the University as a permanent and productive member of the faculty. All untenured faculty positions are considered to be probationary and are subject to the periodic review mandated by the official policies and procedures of the Department and the University until a final decision is made on the question of tenure.

Tenure will be recommended only after a formal review of the faculty candidate. In accordance with University policies and procedures, an assistant professor who has not been awarded tenure by the end of his/her seventh pre-tenure probationary year will be terminated from the University faculty. In the case of a faculty member whose original appointment at the University was at the rank of associate professor or professor without tenure, it is University policy that an associate professor or professor who has not been awarded tenure by the end of his/her fifth pre-tenure probationary year will be terminated from the University faculty.

A faculty member in the Department will be recommended for tenure only after she/he has demonstrated both the ability and the promise of maintaining and expanding high levels of achievement in all three areas of teaching, research and professional service. In particular, the faculty candidate will have achieved an international reputation in geology, geophysics and/or geological engineering for accomplishments in his/her chosen field of research, as demonstrated by an internationally recognized and independently funded research program that has produced an excellent record of publications in leading peer-reviewed journals and of attracting and supporting outstanding graduate students.

V. POST-TENURE REVIEW OF TENURED FACULTY

In accordance with University policies and procedures, the Department chair will administer post-tenure reviews of tenured faculty of all ranks in the Department. These reviews will occur approximately once every five years for each tenured faculty member, and they will be similar in procedure to informal RPT reviews (as described earlier in this document), except that the Department RPT Committee will play no role in these post-tenure reviews.

The Department chair will appoint an *ad hoc* subcommittee, consisting of one to three tenured faculty members of equal or higher rank than the person being reviewed, to conduct the review of each faculty member who is scheduled for review in a given year. The post-tenure reviews will consider the same criteria for assessing the tenured faculty member's performance in teaching, research and service, as outlined in earlier parts of this document, but they normally will not include input from the SAC or from external reviewers. The report of the *ad hoc* subcommittee will be submitted directly to the Department chair, who will convey it to the faculty member who is being reviewed. The report will be placed in the faculty member's permanent file in the Department, and a copy will be submitted to the Dean of the College.

VI. DISCRIMINATORY PRACTICES PROHIBITED

The procedures and decisions made regarding retention, promotion and tenure in the Department will in no way discriminate against a faculty RPT candidate because of the RPT candidate's race, sex, religion, national origin or sexual orientation.

VII. REVISIONS TO THESE POLICIES AND PROCEDURES

This document, which establishes the policies and procedures to be employed for RPT actions in the Department, takes effect immediately upon its approval by the University RPT Standards and Appeals Committee, and this current document supercedes all earlier policies and procedures for RPT actions in the Department. Any revisions (*i.e.*, changes, deletions or additions) to this document must be approved by a majority of the members of the Department RPT Committee and then must be approved by the University RPT Standards and Appeals Committee before they will take effect.