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**University of Utah
Department of Mathematics
College of Science**

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

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Preface

This document is the Department's Statement of RPT criteria, standards, evidence, and procedures, as required by University Regulations. All committees or individuals making any recommendation or decision in an RPT proceeding shall do so consistent with the governing University Regulations and the substantive criteria, standards, and evidence set forth in this Statement. The primary relevant University Regulations are Policies [6-303](#) and [6-311](#).

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1. Effective Date and Application to Existing Faculty

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

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

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

2. Informal and Formal Reviews Schedule

2.1 Length of Probationary Period and Schedule of Reviews

a. Probationary period

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

b. Reviews schedule

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

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

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

Table 1: Reviews Schedule

Rank at Appointment	Year of Informal Review	Year of Formal Review
Assistant Professor	1 st , 2 nd , 4 th , 5 th	3 rd , 6 th

Associate Professor or Professor (without tenure)	1 st , 2 nd , 4 th	3 rd , 5 th
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As more fully explained in [4.2.d](#) below, if a candidate does not demonstrate clearly adequate progress in an informal review, a formal review may be *triggered*.

c. Shortening the probationary period

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

d. Extending the probationary period

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

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

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

2.3 Request for Promotion to Rank of Professor

The Department does not require any minimum number of years subsequent to the granting of tenure or promotion to Associate Professor before a candidate may request a review for promotion. Ordinarily, however, such reviews are not held before the academic year in which a candidate is scheduled for the first Tenured Faculty Review (TFR), which is five years after tenure is achieved (see [Policy 6-321](#)).

2.4 Relationship to other Processes

In the course of any review of a tenure-line faculty member, if an issue arises that is governed by other university regulations, such as the Code of Faculty Rights and Responsibilities (Policy [6-316](#)), or such as an issue that is appropriate for consideration by the University’s Office of Equal Opportunity and Affirmative Action (Policy [1-012](#)), the Senate Committee on Academic Freedom and Faculty Rights (Policy [6-010](#)), or the Senate Consolidated Hearing Committee (Policy [6-011](#)), that issue should proceed as is appropriate under the relevant Policy. If a case is

referred to or a complaint filed with one of these bodies, those entities may request that the faculty review process be suspended until the matter is resolved; otherwise, the review proceeds based on the criteria, standards, evidence, and evaluation processes as articulated in this Statement.

3. RPT Criteria, Standards, Evidence, and Evaluation

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

Summary ratings of performance in each of these three areas serve as the *standards* set for retention, promotion, and tenure. As permitted by University Regulations, this Department uses a four-level scale of standards for evaluating performance: *excellent*, *very good*, *effective*, and *not satisfactory*.

The standards and means of evaluation for each criterion for retention, for tenure, and for promotion to each rank are listed below. Evaluations of a candidate's performance are based on the *evidence* provided in the RPT file, as described in subsequent sections.

Per Policy [6-303](#), in carrying out their duties in research/creative activity, teaching, and service, faculty members are expected to demonstrate the ability and willingness to perform as responsible members of the faculty, as defined in the Faculty Code (Policy [6-316](#)). Therefore, assessments of research/creative activity, teaching, and service may consider the candidate's conduct as a responsible member of the faculty, based on the evidence in the file.

3.1 Summary of RPT Standards for all Criteria

Sustained: In the context of this Statement, "sustained" means that the candidate has made contributions over time. While quantity and quality of teaching, research/creative activity, or service output may vary from year to year, as a whole the candidate demonstrates continued contributions to research/creative activity, teaching, and/or service.

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

Associate Professor: A candidate for promotion to this rank must have developed a broad reputation for at least *sustained effectiveness* in research/creative activity; demonstrated at least *sustained effectiveness* in teaching; and performed at least *effective* service in some combination of University, public, and professional settings. The evidence presented must also demonstrate that the candidate can achieve the requirements for the rank of Professor in due course.

Tenure: A candidate for tenure must achieve ratings of *excellent* in research/creative activity, at least *sustained effectiveness* in teaching, and at least *effectiveness* in service.

Professor: A candidate for promotion to this rank must achieve ratings of *sustained excellence* in research/creative activity resulting in a national and international reputation in their field, at least *very good* in teaching, and at least *sustained effectiveness* in national/international professional and university and/or public service.

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

3.2 Evaluation of Research/Creative Activity

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

a. Description of research/creative activity and evidence to be evaluated

We expect candidates to contribute significantly and distinctly to the development and dissemination of new knowledge through research/creative activity and publication of results. The following will be considered in evaluating a candidate's research/creative activity and scholarship according to accepted publishing patterns in the candidate's own research/creative activity area:

- Publication of original research papers in refereed technical journals and refereed conference proceedings.
- Publication of books—including textbooks, with a substantial component devoted to an area of active research/creative activity— and research monographs.
- Book chapters and survey or review articles.
- Presentations at conferences, workshops, colloquia or seminars.
- Patents licensed and software licensed or otherwise distributed.

We expect candidates to produce high quality scholarly work at an appropriate rate for the discipline. Research/creative activity is not judged by simple publication counts or impact factors, although the standards of publication venues and the impact and originality of the research/creative activity will be considered. We also expect the candidate to demonstrate that their research/creative activity program is on a positive and productive trajectory over time and is sustainable. We also expect that the candidate's research/creative activities will have attained recognition within their field. Keynote, plenary, and invited talks, and the venue of talks, are noted.

The Department uses the external evaluator letters to assist in the assessment of these factors. The Department also uses other forms of recognition, such as awards and honors. Both the breadth (the degree to which contributions broadly affect different areas within the field) and the depth (the degree to which contributions have changed the way other scholars think about a topic area) of impact are considered.

Research/creative activity in related fields including but not limited to biology, chemistry, computer science, economics, engineering, finance, geosciences, and physics also contributes positively to a candidate's performance in research/creative activity.

b. Research/creative activity funding

External funding to support research/creative activity is valued by the University and this Department and supports the mission of the University. A candidate for retention must therefore demonstrate either success in acquiring funding to sustain a research/creative activity program or significant efforts to obtain such funding with realistic strategies for success in acquiring funding in the future. Demonstrated success in acquiring external funding is typically required for tenure, but in cases where funding has not been secured, clear realistic strategies for acquiring funding in the future, as well as significant past efforts to obtain such funding, are necessary. These strategies must be supported by a strong publication record consistent with typical successful external funding proposals. A candidate for promotion to Professor must demonstrate success in acquiring funding to sustain a research/creative activity program. Serving as a co-investigator on a grant may also demonstrate success in acquiring funding to sustain a research/creativity activity program, when the candidate's role and contribution is identified and significant.

c. Summary rating scale for research/creative activity

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

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

Very Good: The candidate has made substantial contributions in one or more topic areas of research/creative activity. The quality and quantity of research/creative activity reflect a coherent agenda in at least one topic area.

Effective: The candidate has made acceptable contributions in one or more topic areas of research/creative activity. The quality and quantity of research/creative activity reflect a coherent agenda in at least one topic area and suggest that eventual contributions will be substantial and impactful.

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

3.3 Evaluation of Teaching

Within the University system, the term *teaching* refers to the following four components: (i) regularly scheduled course instruction; (ii) curriculum and program development; (iii) mentoring and advising of students, which includes directing undergraduate and/or graduate student work; and (iv) postdoctoral mentoring.

a. Description of teaching activity and evidence to be evaluated

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

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

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

i. Course Instruction

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

ii. Curriculum and program development

Academic programs require significant investments of faculty time in ongoing curriculum/program development and maintenance. Examples of these kinds of contributions include development and teaching of new courses, development of new curricula or programs for the Department, and publication of textbooks without a substantial component devoted to an area of active research/creative activity, or other teaching materials.

iii. Student advising and mentoring

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

iv. Postdoctoral mentoring

Postdoctoral mentoring generally takes place outside of the classroom. Activities in this area include (a) general mentoring, (b) including postdocs in research/creative activity and/or as co-authors in scholarly work, and (c) career mentoring.

b. Summary rating scale for teaching

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

Excellent: The candidate has made substantial and impactful contributions in areas of course instruction, mentoring, which includes student advising and student and postdoctoral mentoring, and to the extent applicable, curriculum/program development.

Very Good: The candidate has made substantial contributions in areas of course instruction, and to the extent applicable, curriculum/program development, student advising and mentoring, and postdoctoral mentoring.

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

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

3.4 Evaluation of Service

a. Description of service activity and evidence to be evaluated

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

i. Professional service

Professional service primarily takes place at a national or international level. This service may be oriented toward professional organizations, and it includes activities such as holding office or other leadership positions; participating in the organization or operation of conferences; attending professional meetings; serving as chair, discussant, or reviewer for presentations at professional meetings; serving on various professional committees, panels, or boards (e.g., accreditation boards); and presenting professional workshops. Professional service contributions may also include serving as editor, associate editor, editorial review board member, or regular reviewer for scholarly or professional journals, reviewing book proposals, book manuscripts; and reviewing grant proposals for national funding agencies (e.g., National Science Foundation or Spencer Foundation).

ii. University service

This category includes service to the Department, College, and overall institution. A candidate's shared-governance activities at any of these levels (e.g., chairing and/or serving on standing and *ad hoc* committees, councils, and task forces serving in administrative or other leadership positions) are examples of University service contributions.

iii. Public service

This category includes service related to the candidate's area of expertise in various local, regional, national, and international public settings and may take many forms, e.g., serving on boards and committees for governmental and/or non-profit organizations, consulting with and/or providing direct service to community agencies as appropriate within University guidelines, including STEM outreach activities such as K-12 engagement and public lectures.

b. Summary rating scale for service

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

Excellent: The candidate has made substantial and impactful contributions to the profession, the University, and/or the public. These contributions typically include leadership roles in service, and should include departmental service.

Very Good: The candidate has made substantial contributions to the profession, the University, and/or the public. Typically, these contributions include the area of departmental service.

Effective: The candidate has made acceptable contributions in service. The candidate shows sufficient commitment to service in at least one area, suggesting that the eventual contributions of the candidate will be substantial and impactful. Typically, these contributions include the area of departmental service.

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

4. RPT Procedures

4.1 Participants

The following are the participants in RPT reviews:

- a. **Candidate.** The faculty member under review for retention, promotion, tenure, or tenure and promotion.
- b. **Department Chair.** The administrative head of the Department.
- c. **Undergraduate Student RPT Advisory Committee (RPT-USAC) and Graduate Student RPT Advisory Committee (RPT-GSAC).** The RPT-USAC is a committee made up of representatives of undergraduate students in the Department. The RPT-GSAC is a committee made up of representatives of graduate students in the Department. The RPT-USAC Committee shall have 3+ members, appointed by the Department Chair. The RPT-GSAC Committee shall have 3+ members, elected by their peers. The RPT-USAC will ordinarily conduct their review in the Spring Semester. The RPT-GSAC will ordinarily conduct their review in the Fall Semester. The RPT-SACs shall elect their own Chairs.

- d. **Peer Teaching Reviewers.** Peer Teaching Reviewers are tenured faculty members who write peer teaching review reports based on both review of teaching materials and observation of teaching.
- e. **Shared-Appointment Unit.** This is another academic unit of the University, in which an RPT candidate under review currently has substantial responsibilities, but in which they do not hold a tenure-line position (see University Policies [6-001](#) and [6-300](#)).
- f. **External Evaluators.** These experts from outside the University of Utah evaluate the candidate's research/creative activity. Each external evaluator must have a demonstrated record of excellence in the candidate's field, and must hold the same or higher faculty rank at a research institution as that for which the candidate is being considered in this review or the next promotion review. An external evaluator shall not be a family member, the advisor or mentor of the candidate, or a close collaborator. A candidate will have the opportunity before evaluations are solicited to identify these relationships and any conflicts with any other potential evaluators, all of whom shall be excluded from the list of potential external evaluators.
- g. **Department RPT Advisory Committee (DAC).** Voting membership of the DAC is determined by University Regulations for each specific RPT action. Per University Policy, tenured faculty members vote on a recommendation for retention or tenure, and tenure-line faculty members at the same or higher rank vote on a recommendation for promotion-in-rank.
- h. **Department RPT Advisory Committee Chair.** The Chair of the DAC is a tenured member of the Department faculty, at the rank of Professor, elected annually during the Spring Semester, by majority vote of all tenure-line faculty.
- i. **Secretary.** The DAC Chair will assign a Secretary. The Secretary prepares a report of the Committee meeting for each candidate.
- j. **Formal Review Ad Hoc Subcommittee.** This subcommittee prepares an Ad Hoc Subcommittee report about an RPT candidate for consideration by the DAC. The Chair of the Department appoints the Subcommittee Chair and its other members (total of 3+ for a formal review). The members are tenured and qualified by rank to vote on the DAC's recommendations regarding the candidate.
- k. **Informal Review Ad Hoc Subcommittee.** This subcommittee prepares an Ad Hoc Subcommittee report about an RPT candidate for consideration by the DAC. The Chair of the Department appoints the Subcommittee Chair and its other members (total of 3+ for an informal review). The members are tenured and qualified by rank to vote on the DAC's recommendations regarding the candidate.

4.2 Informal Review Procedures

a. Purpose of informal reviews

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

b. First-year informal review

The first-year informal review is conducted during the Spring Semester to assess achievement in research/creative activity, teaching, and service, and to provide advice and mentorship to the candidate. The Department Chair shall review the candidate's CV, research/creative activity, Course Feedback Forms, syllabi, and service, and shall meet with the candidate to discuss the review and any problems with research/creative activity, teaching, or service by April 1. The DAC Chair shall also attend the meeting. The Department Chair shall then prepare a brief written report copied to the candidate and placed in the RPT file. Within five (5) business days, the candidate may submit a written response to the report to the Department Chair, who shall add it to the RPT file.

c. Informal reviews after the first year

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

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

In the case of a candidate who has a shared appointment, the Department Chair shall notify the administrator of the other unit in writing of the informal review by April 15 and invite the unit to submit a report, which shall include that unit's perspective on the candidate's progress toward tenure. The Department Chair shall make the file available to the shared-appointment unit as soon as the file closes, and the shared-appointment unit will submit the report to the Department Chair by October 5. Any such report will be added to the RPT file and a copy provided to the candidate.

No later than five (5) business days after the file closing date, the candidate may submit a written response to any of the file contents to the DAC Chair, who shall add the response to the file. If a shared-appointment unit submits a report, the candidate must have the opportunity to submit a

response no later than five (5) business days following receipt of the report and no fewer than two (2) business days prior to the RPT Committee meeting.

The Department Chair will appoint the members of the Informal Review Ad Hoc Subcommittee to review the candidate's file, meet with the candidate, and write an Ad Hoc Subcommittee report that summarizes the candidate's progress toward meeting RPT expectations. The DAC Chair will add the report to the RPT file and provide a copy to the candidate. Within five (5) business days, the candidate may provide a response to the report, submitted in writing to the DAC Chair, who will add it to the file.

The DAC shall meet to discuss the file and the Ad Hoc Subcommittee report, as well as any response of the candidate, and agree on feedback to be provided to the candidate. The DAC Chair shall ensure that a summary report of the meeting is prepared and place the following items in the candidate's file: (1) the Informal Review Ad Hoc Subcommittee's report (including any response of the candidate) and (2) the summary report of the DAC's meeting.

After studying the candidate's file, the Department Chair shall add a report to the file. The candidate may provide a written response to the reports within seven (7) business days, which the Department Chair shall place in the file. After the informal review, the Department Chair and the DAC Chair shall meet with the candidate to discuss the reports, as well as the candidate's progress toward tenure. The informal review normally concludes at this point.

d. Triggering formal retention reviews

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

4.3 Formal Review Procedures

A mid-probationary formal retention review, a triggered formal retention review, a formal tenure review, and a formal promotion review (either to Associate Professor or to Professor) follow the same format, except regarding how many external evaluators are included (see external evaluators section below).

a. Department Chair responsibilities

Determining upcoming RPT formal reviews. By February 1, the Department Chair will determine the obligatory RPT formal reviews for the upcoming academic year and will notify, in writing, the faculty members required to be reviewed. The Department Chair will also invite any other tenure-line faculty members wishing to be reviewed for promotion or tenure to submit a letter requesting review to the Department Chair by April 15. For each candidate being reviewed, if required, the Department Chair will request nominations from the candidate for external

evaluators, and request that the candidate submit the signed waiver/non-waiver form governing the confidentiality of external evaluations.

Assigning Peer Teaching Reviewers. No later than February 1, the Department Chair shall select at least two Peer Teaching Reviewers, and then ensure that each Reviewer submits a Peer Teaching Review report no later than the file closing date to the Department Chair, who shall add the Peer Teaching Review reports to the candidate's file.

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

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

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

Notifying and providing the file to a shared-appointment unit. In the case of a candidate who has a shared appointment, the Department Chair shall notify the administrator of the other unit in writing of the formal review by April 15 and invite the unit to submit a report, which shall include that unit's perspective and recommendation on the RPT action(s) under consideration. The Department Chair shall make the file available to the shared-appointment unit as soon as the file closes, and the shared-appointment unit will submit the report to the Department Chair by October 5.

b. Peer Teaching Reviewers

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

c. External Evaluators

The candidate must provide a list of 5 potential external evaluators and provide any information about potential conflicts by June 1. The DAC Chair, after consulting with the Department Chair and the Ad Hoc Subcommittee Chair, and considering the list of potential evaluators submitted by the candidate as well as any information about any conflicts, will obtain no fewer than 6 external evaluations for each formal tenure review and each formal promotion (either to Associate Professor or to Professor) review. Three (3) external evaluators are required for a mid-probationary formal retention review and a triggered formal retention review.

For all retention reviews requiring 3 external evaluators, at least 1 external evaluator will be from the candidate's list, and at least 1 external evaluator will not be on the candidate's list.

For all tenure and promotion reviews requiring 6 external evaluators, at least 2 external evaluators will be from the candidate's list, and at least 2 external evaluators will not be on the candidate's list.

The same External Evaluator may be used for more than one formal RPT review.

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

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

e. RPT file content responsibilities and file closing date

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

Candidate Responsibilities for File Contents. By June 1, the candidate shall submit the following items for inclusion in the file: (1) a current CV; (2) copies of publications and/or other forms of scholarly/creative work; (3) a personal statement that includes the candidate's current activities and progress and accomplishments to date, research/creative activity agenda, teaching philosophy, and future plans in research/creative activity, teaching, and service; and (4) course syllabi. The candidate may choose to submit (5) other relevant materials, including Course Feedback Forms from outside the University, and (6) updates of materials up to the file closing date (see [Appendix A](#)). The date on which the candidate submits any updates should be clearly identified in the file.

Department Responsibilities for File Contents. Prior to the file closing date, the Department Chair shall ensure that the file includes: (1) current University of Utah Course Feedback Forms, (2) available RPT-USAC and RPT-GSAC reports, (3) any written recommendations from

Department faculty and/or staff members or other interested individuals, (4) external evaluations (treated as confidential as appropriate), (5) peer teaching review reports, (6) the reports and recommendations from all past reviews since the last formal RPT review, as well as the candidate's CV at the time of the last formal review or at the time of appointment if no previous formal RPT review exists, and (7) any other required materials, such as evidence of faculty responsibility. (8) Any report received from a shared-appointment unit, must be submitted and included in the file by October 5; and, any candidate response to that report must be submitted within five (5) business days following receipt of the report (see [Appendix A](#)).

f. Candidate's right to comment on file

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

g. Department RPT Advisory Committee meeting and subsequent steps

Formal Review Ad Hoc Subcommittee Action. This subcommittee will submit its report after the file closing date and after receiving any report from a shared-appointment unit (and any response from the candidate), but generally no later than October 1 (October 15 if there is a shared-appointment report).

Department RPT Advisory Committee Action. The full DAC will meet after the file closing date and after receiving any report from a shared-appointment unit (and any response from the candidate), but generally no later than October 22. Each Committee member shall review the full file prior to the meeting. The Committee will discuss the record as it pertains to each of the relevant criteria: research/creative activity, teaching, and service. Committee members shall vote by secret ballot separately on a recommendation as to each RPT action for each candidate (e.g., a vote on recommendation for tenure is taken and recorded separately from a vote on recommendation for promotion of that candidate) (see voting eligibility for each action in 4.1.g above).

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

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

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

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

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

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

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

Appendix A: RPT File Contents

Candidate's Responsibility

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

1. Curriculum Vitae. The CV should include at least the following:
 - a. All dissemination of research/creative activity since the beginning of the candidate's professional career, including dates. Must state if acceptance was based on anonymous review or other selection method, and publications must list inclusive page numbers. Student co-authors should be indicated.
 - b. Conference papers presented and presentations given, including dates. Invited and keynote talks should be indicated. Student co-presenters should be indicated.
 - c. Grants and fellowships received or under review. Must state role (e.g., PI, co-PI); amount of award with indication of the candidate's portion, and the dates covered by the funding.
 - d. Honors or awards received for research/creative work, including dates.
 - e. Graduate student committees served on or chaired, including dates.
 - f. Individual student research/creative activity supervised, including dates.
 - g. Teaching awards or teaching recognition received, including dates.
 - h. Service activities for the University, profession, and public, including dates.

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

2. Personal Statement. This document includes the candidate's current activities and progress and accomplishments to date, research/creative activity agenda, teaching philosophy, and future plans in research/creative activity, teaching, and service. The candidate should describe their role in any externally funded project in which they serve as co-investigator. The candidate should also identify their roles in any collaborative projects they participate in, including grants in which they are senior personnel. The candidate should describe their graduate student's progress and the projects that each of their mentees are working on, making sure to highlight any notable achievements. The candidate is encouraged to highlight activities that support the mission of the Department, College, and/or University.
3. Copies of research/creative works.
4. Course syllabi for all courses taught since the most recent formal review, or since appointment if no previous formal review exists. No more than five years of course syllabi need be included for any review.
5. Other relevant materials, if desired. These materials might include course feedback forms from other institutions or letters the candidate has received from faculty, staff, students,

or other interested individuals. If the candidate has had personnel from the Center for Teaching Excellence observe teaching or review teaching materials, the candidate may wish to include a resulting evaluation in the file. When the candidate's role in particular research/creative activity is unclear, the candidate should include letters from collaborators describing the candidate's contribution to the work.

6. Candidate response(s) to any file contents, if desired.

Department's Responsibility


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

9. Department Chair's report.

10. Any candidate response to the Department Chair's report and/or the DAC report.

Appendix B: Notices of Final Approval of RPT Statement

Review Committee Approval:

 _____ Trina Rich, SFRSC Committee Secretary	<u>April 12, 2024</u> Date
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Senior Vice President Approval:

 _____ Sarah Projansky, Designee	<u>May 25, 2024</u> Date
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