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University of Utah College of Social Work

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

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Preface & Mission Statement

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

The College of Social Work Mission Statement:

Through education, research, and community engagement, the University of Utah College of Social Work advances the transformation of policies, practice, and interventions to alleviate human suffering, enhance well-being, and promote social justice.

The College of Social Work (CSW) shares the University of Utah's Core Values:

- Student success and engagement: The U is committed to providing the financial assistance, personalized support, and engaged learning experiences that increase access to the university and facilitate persistence through degree completion.
- Research and teaching excellence: The U engages in cutting-edge teaching and research that foster inter- and trans-disciplinary innovation, creativity, entrepreneurship, and knowledge and technology transfer.
- Diversity: The U celebrates the rich diversity of people as well as creative and intellectual traditions by being inclusive in every respect.
- Sustainability: The U contributes to a more sustainable world through research, teaching, and demonstrating best practices in protecting and enhancing the natural and built environment on the campus and environs, making it a great place to live, learn, work, play, create, recreate, and visit.
- Global vision and strategy: The U thinks and acts globally by increasing opportunities for students and faculty to engage in international study, teaching, research, and service.
- Community: The U maintains a strong sense of community among students, faculty, and staff, and cultivates meaningful university, neighborhood, city, region, state, and global partnerships.

- Leadership: The U engages students, faculty, staff, and the larger community in conversations that lead to positive transformation at the local, state, national, and global levels.

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1. Effective Date and Application to Existing Faculty

These RPT criteria, standards, evidence, and procedures are applicable as of the effective date shown on page 1. Any candidate appointed to a tenure-line faculty position on or after this date 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. The Dean must notify the candidate that 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 Dean. For a formal review during which external evaluations are solicited, the candidate must communicate their preference by signed letter prior to materials being sent to external evaluators. For all other reviews, the candidate must communicate their preference by signed letter 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 RPT 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. Normal probationary period

The normal probationary period for a candidate appointed at the rank of *Assistant Professor* is *seven* years. Per University Policy, the normal probationary period for a candidate appointed without tenure at the rank of *Associate Professor* or *Professor* is *five* years.

b. Reviews schedule

The College shall conduct either a formal or an informal review of a candidate in each year of their probationary period (as indicated in Table 1 below). Additionally, the College 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 seven-year probationary period undergoes one formal mid-probationary retention review in the *fourth* year.

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

Table 1: Normal Reviews Schedule

Rank at Appointment	Year of Informal Review	Year of Formal Review
Assistant Professor	1 st , 2 nd , 3 rd , 5 th , 6 th	4 th , 7 th
Associate Professor or Professor (without tenure)	1 st , 2 nd , 4 th	3 rd , 5 th

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

c. Shortening or extending the probationary period

A candidate may request an early tenure review (i.e., *shortening* the otherwise applicable probationary period) 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 truly extraordinary progress toward tenure, few requests are made, and few are granted. Candidates should consult with the Dean and senior colleagues before requesting an early tenure review.

If the candidate has had an authorized *extension* of the probationary period, 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 College shall conduct an informal review in any year in which a formal review is not held.

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

The College 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 College does not require any minimum number of years subsequent to the granting of tenure or promotion to Associate Professor before a candidate may request a review for promotion. In considering promotion to the rank of Professor, reviewers shall consider all of the candidate’s faculty activities since the candidate was granted tenure.

3. RPT Criteria and Standards

The University and this College 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. University Regulations identify a three-level scale of standards for evaluating performance: *excellent*, *effective*, and *not satisfactory*.

The criteria and standards for retention during the probationary period, for tenure, and for promotion to each rank are listed below. Implicit in the criteria and standards for each stage of advancement is the concept that accomplishments in one area do not compensate for substandard performance in another area. The same criteria and standards apply for both formal and informal reviews. 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.

Diversity is a core value of the University as expressed in the University's Mission Statement. In addition, as articulated in the 2025 Strategy Refresh, the University defines equity, diversity, and inclusion as key elements of research/creative activity, teaching, and service. This College shares this mission and these values.

3.1 Summary of RPT Standards

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

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

With tenure, a permanent relationship between the faculty member and the University is implied. In a decision to grant tenure, careful consideration is given to the faculty member's past and present teaching, research/creative activity and publications, professional competence, and involvement in the University community.

The conferral of tenure requires that the faculty member, since appointment at the College, has provided convincing evidence that they will continue to achieve the standards expected of a tenured faculty member and the rank at which they are appointed or to which they will be promoted during the tenure review.

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 has the ability to achieve the requirements for the rank of Professor in due course.

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, *sustained excellence* in teaching, and at least *sustained effectiveness* in service. The evidence must demonstrate continuing professional growth at a level appropriate to the rank of Professor.

3.2 Evaluation of Research/Creative Activity

Judgments about a candidate's research/creative activity are based on both the quality and quantity of research/creative products and their relevance to the community; however, the characteristics of productive research/creative activity can differ as a function of the candidate's area(s) of specialization and professional goals. Consequently, there are no strict quantitative criteria for amount and type of research/creative activity at the various faculty ranks. Rather, assessments of faculty research/creative activity in the RPT process reflect professional judgments that balance the quality and quantity of contributions and take into account the professional context of the candidate.

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

Quantity of research/creative activity

Quantity of research/creative activity is not judged by simple publication counts. Publications that reflect a primary role or responsibility by the candidate are valued more than those that reflect a secondary or tertiary role. This is usually, but not always, associated with order of authorship in publications. A series of publications over time that represents sustained research/creative activity in one or more topic areas is valued highly. In addition, the College values collaborative, community-based research (CBR) and acknowledges that publications resulting from such research often involve multiple authors. The College also values publications that are co-authored with students.

Quality of research/creative activity

Research/creative activity is evaluated with respect to three facets of quality: purpose, significance, and impact. Although these facets are not independent of one another, each defines a different aspect of quality. The three facets are of equal importance and are applied to the variety of research/creative areas represented by College faculty (e.g., quantitative, qualitative, and mixed methodologies; community-based research).

Distinction in research/creative activity does not require that a candidate's research/creative products always represent the highest levels within all three facets. Instead, high quality research/creative activity can be achieved with a variety of products that differ with respect to these quality dimensions. Overall, however, judging the quality of research/creative contributions is an essential part of evaluating research/creative activity, and these three facets define research/creative activity that generally has high quality.

1. Purpose of the Contribution

The mission of the University, in part, is to create new knowledge. Consistent with this, quality is, in part, evaluated by the degree to which the research/creative activity contributes to new understanding. Five categories of purpose are listed below, reflecting a general ordering from greater to lesser significance. This ordering does not imply that the latter categories have no value; however, some purposes reflect to a higher degree the University mission of creating new knowledge, and the College recognizes the greater significance of these forms of research/creative activity.

Creation of New Knowledge. This category includes research/creative products that present new theory, empirical evidence, or methodology relevant to the field of social work. New theory refers to an original proposal that explains a system of behaviors or processes, not simply new hypotheses or models of isolated behaviors. New empirical evidence can be quantitative or qualitative, but the emphasis is on the development of new and original understanding from the data, not merely an empirical description of phenomena. New methodological contributions can take many forms (e.g., research-related methods or methods of professional practice), but to belong in this category, contributions must be novel rather than re-expressions of existing methods.

Novel Synthesis of Existing Knowledge. This category includes research/creative activity that presents a new synthesis of existing knowledge with new implications for future research/creative activity and theory. Examples include, but are not limited to, an integrative literature or systematic review that proposes new conceptualizations of existing evidence, or a comprehensive meta-analysis that produces a new understanding of existing empirical evidence.

New Descriptive Evidence. This category includes research/creative products that report new empirical evidence, but with little or no development of new conceptual understanding. Empirical studies that describe phenomena (e.g., surveys and other descriptive methods) without testing, contrasting, or proposing theoretical explanations fall into this category.

Summary and/or Application of Existing Knowledge. This category includes research/creative products that summarize existing knowledge (previously generated theory, concepts, methodology, and/or empirical findings), often with recommended applications for professional areas related to social work.

Commentary on Existing Knowledge. This category includes research/creative products of limited scope such as a published comment, editorial, or book review. The research/creative activity in this category addresses a limited scope of existing research, theory, or practice.

2. Significance of the Research/Creative Activity

The quality of contributions is judged, in part, by the type of outlets in which they appear. Four levels of significance are listed below with common examples. The examples are meant to serve only as general guidelines for assessing the significance of outlets. In addition, some types of outlets are not listed as examples (e.g., unfunded grants, video

productions), because they vary considerably in their significance. Each product is considered for its own unique merits relative to this facet of quality.

Level 1. Examples of this category include authored scholarly books by respected publishers, articles in widely recognized journals that are general to the field of social work (print or electronic), articles in highly regarded peer-reviewed journals in a specialty area (print or electronic), major funded research grants, and widely adopted general textbooks or high-quality advanced textbooks. (No order of importance is implied in the above list.)

Level 2. Examples of this category include articles in respected peer-reviewed journals (print or electronic), book chapters in a high-quality edited book, edited books, general textbooks, externally funded research seed grants, major funded training grants with significant research components, and invited addresses to prominent national/international conferences.

Level 3. Examples of this category include articles in peer-reviewed journals (print or electronic), peer-reviewed abstracts, authored books on professional topics for the general public, presentations at national/international professional conferences, conference proceedings, and funded training grants with minor research components.

Level 4. Examples of this category include articles in non-peer reviewed journals, unpublished research reports, and regional and local conference presentations.

3. Potential Impact of the Work

Judgments of impact (or predicted impact) range from minimal to exceptionally high. These judgments are based on the College RPT Advisory Committee members' individual assessments of the work, conclusions from qualified external evaluators, citation rates if the publications have existed for a sufficient period of time, and in some cases other forms of recognition such as awards and honors. Both the breadth and the depth of impact are considered.

Depth of impact. This is the degree to which contributions have changed (or are likely to change) the way other scholars think about a topic area or the way professionals practice in applied settings. Judgments about depth of impact take into account such things as the clarity with which important issues or questions are identified, the sophistication of methods used or proposed, the amount of evidence brought to bear on the issues, the depth of analysis and interpretation, and the degree to which conclusions and/or recommendations are unambiguous and likely to generalize.

Breadth of impact. This is the degree to which contributions broadly affect (or are likely to broadly affect) different areas within the field of social work, including one's own area(s) of specialization. Contributions that have far-reaching impact are especially valued. Breadth of impact is not meant to reflect the size of a scholar's specialty area(s), but rather the degree to which research/creative works have (or are predicted to have) broad influence within and across discipline and specialty areas, as well as an impact on local, regional, and/or national policy.

b. Research/creative activity funding

Acquiring funding to support research/creative activity is valued by the University and this College and is necessary to sustain the mission of the University. A candidate must therefore either demonstrate success in acquiring funding that will help sustain a research program, or demonstrate having made efforts to obtain such funding and having realistic strategies for continuing to do so. Applying for grants or receiving grant funding is not explicitly necessary for tenure or promotion. Both successful and unsuccessful efforts to obtain such funding contribute positively to a candidate's performance in research/creative activity. It is possible to meet the expected level of performance through many different types of scholarly activities. Applying for grants and receiving grants is simply one of many scholarly activities that are considered in retention, promotion, and tenure decisions.

c. Summary rating scale for research/creative activity

Ratings on the three-point scale below reflect the joint consideration of quantity and quality of research/creative activity as described above.

Excellent: The candidate has made substantial, sustained 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, sustained contributions in one or more topic areas of research/creative activity. The quality and quantity of research/creative activity reflect a coherent agenda of work and suggest that significant contributions will be made over time.

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 regularly scheduled instruction; curriculum and program development; and counseling and advising of students, which includes directing undergraduate and/or graduate student work. There are therefore three components of teaching: (1) course instruction, (2) curriculum and program development, and (3) student advising and mentoring.

Specific sources of information to evaluate the candidate's teaching shall include: (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, and other public presentations; (d) information from Course Feedback Reports; and (e) Student RPT Advisory Committees (RPT-SACs) reports. The candidate may choose to submit other information about teaching, including, for example, a teaching portfolio, teaching awards, or any evaluation of the candidate's teaching done by personnel from the University's Center for Teaching and Learning Excellence (CTLE). When evaluating teaching, reviewers must consider all sources of teaching information included in the file.

Contributions in teaching are evaluated with respect to both quantity and quality. In addition, this College values teaching activities that explicitly incorporate and address equity, diversity, and inclusion.

a. 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.

b. 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 College, and creation of other teaching materials.

c. Student advising and mentoring

Undergraduate and graduate student advising and mentoring generally takes place outside of the classroom. Activities in this area include (1) general student advising and mentoring, (2) chairing and serving on graduate student committees, (3) directing undergraduate research or thesis projects, and (4) including students in research/creative activity and as co-authors in scholarly work.

d. Summary rating scale for teaching

Ratings on the three-point scale below reflect the joint consideration of the three components of teaching described above.

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

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

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

3.4 Evaluation of Service

Evaluations are made with respect to three areas of service: (1) professional service, (2) University service, and (3) public service. It is not necessary for a candidate to participate equally in all three service areas. Differing participation in the three service areas typically reflects the strengths and interests of individual faculty members. In addition, this College values service activities that explicitly incorporate and address equity, diversity, and inclusion.

a. Professional service

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

b. University service

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

c. Public service

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

d. Summary rating scale for service

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

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

Effective: The candidate has made acceptable, sustained 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 significant.

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

4. RPT Procedures

4.1 Participants

The following are the normal participants in RPT reviews:

- a. Candidate.** The faculty member under review for retention, promotion, tenure, or tenure and promotion.

- b. **Dean**. The administrative head of the College, who for a single-department college has the specific RPT responsibilities University Policy [6-303](#) prescribes for a department chair.
- c. **Undergraduate Student RPT Advisory Committee (RPT-USAC), the Graduate Student RPT Advisory Committee (RPT-GSAC), and the Ph.D. Student Advisory Committee (RPT-PHDSAC)**. The RPT-USAC is a committee made up of representatives of undergraduate students in the College. The RPT-GSAC is a committee made up of representatives of Master of Social Work students in the College. The RPT-PHDSAC is made up of representatives of Ph.D. students in the college. The RPT-SACs shall elect their own Chairs. Each RPT-SAC consists of a minimum of 3 student members, each of whom is nominated to serve by their respective Student Associations.
- d. **Peer Teaching Reviewers**. Peer Teaching Reviewers are tenured faculty members who write peer teaching review reports based on 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 as that for which the candidate is being considered in this review or the next promotion review. External evaluators should be drawn from tenured faculty at peer or aspirational institutions, specifically at Research 1 universities. 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 external evaluators.
- g. **College RPT Advisory Committee**. Voting membership of the College RPT Advisory Committee 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. (Policy [6-303](#) provides full details, including rules governing absentee voting). Qualified members of the Committee attend and participate in its meetings and vote on its recommendations. The Committee may agree to invite others to attend and participate in the meeting as provided by University Regulations; however, other invited participants do not vote on the Committee's RPT recommendations.

- h. **RPT Advisory Committee Chair.** The Chair of the College RPT Advisory Committee is a tenured Professor on the College faculty, elected annually during the Spring Semester, by majority vote of all tenure-line faculty.
- i. **Secretary.** The Committee Chair designates the Dean’s Executive Assistant as Secretary for the RPT Committee to prepare a report of the Committee meeting.
- j. **Ad Hoc Review Subcommittee.** This Subcommittee prepares a report about an RPT candidate for consideration by the RPT Advisory Committee. The Dean and RPT Chair will select one person to serve as RPT subcommittee chair. The candidate shall name one person to their review subcommittee from the eligible faculty. The Dean and RPT Chair will select the remaining member(s) of the subcommittee. (total of two (2) members of the subcommittee for an informal review and three (3) members of the subcommittee for a formal review). The members are tenured and qualified by rank to vote on the RPT Advisory Committee’s recommendations regarding the candidate.

4.2 Informal Review Procedures

a. Purpose of informal reviews

An informal review of each tenure-track faculty member shall take place in every year of the probationary period in which a formal review is not conducted.

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, focusing particular attention on 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 will be conducted during the Spring Semester to identify and address any problems that have arisen, and to provide mentorship to the candidate. The Dean (or the Associate Dean for Academic Affairs as designee) shall review the candidate’s research/creative activity, Course Feedback Reports, and service, and shall meet with the candidate to discuss the review and any problems with research/creative activity, teaching, or service. The Dean (or Associate Dean for Academic Affairs as designee) 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 Dean, who will add them to the file: (1) an up-to-date curriculum vitae; (2) a personal statement that includes the candidate’s current activities and progress and accomplishments to date, research agenda,

teaching philosophy, and future plans in research/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. The file may be updated until the *file closing date*. (See Appendix A)

In the case of a candidate who has a shared appointment, the Dean shall notify the appropriate administrator of the other unit in writing of the informal review by April 15 and invite the unit to submit a report with that unit's perspective on the candidate's progress toward tenure, which should be submitted to the Dean by October 5. Any such report will be added to the RPT file and a copy provided to the candidate.

The Dean will add to the file Course Feedback Reports from University of Utah courses. If the candidate so chooses, they may provide course evaluations from other institutions, which the Dean will then add to the file.

The Dean will also add to the file any appropriate materials regarding evidence of faculty responsibility. (See Appendix A)

RPT-SACs are not asked to submit a report for, and external evaluators are not involved in an informal review.

The Dean and RPT Advisory Committee Chair will appoint the members of the Ad Hoc Review Subcommittee (and will appoint the Chair of that subcommittee) to review the candidate's file and write an ad hoc informal review report that summarizes the candidate's progress toward meeting RPT expectations and evaluates the evidence documented in the file in the context of the CSW RPT standards.

The report will be prepared in consultation with the candidate. Specifically, the Subcommittee Chair will submit the report to the candidate for review and written comment on matters of fact no less than two (2) weeks before the report is submitted to the RPT Advisory Committee Chair. The candidate has the right (but not the obligation) to send written comments on matters of fact to the Subcommittee Chair no less than one (1) week before the report is submitted to the RPT Advisory Committee Chair, and the RPT Advisory Committee Chair shall add these written comments to the file. The subcommittee chair shall make corrections to the report as necessary prior to submitting it to the RPT Advisory Committee Chair, who 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 RPT Advisory Committee Chair, who will add it to the file.

The RPT Advisory Committee shall meet to discuss the Ad Hoc Review Subcommittee report and any response of the candidate, and agree on feedback to be provided to the candidate. The RPT Advisory Committee will comment and vote separately on the candidate's progress in three separate areas: research/creative activity, teaching, and service. Each vote is on the motion: "The evidence in the file supports that the candidate is making adequate progress toward tenure in the area of research/creative activity, teaching, or service," and is intended to provide feedback to the candidate on their needed progress towards tenure and does not represent an official action

taken by the committee. The RPT Advisory Committee Chair shall ensure that a summary report of the meeting is prepared and place the following items in the candidate's file: (1) the Ad Hoc Review Subcommittee's report (including any response of the candidate) and (2) the summary report of the RPT Advisory Committee's meeting.

After studying the candidate's file, the Dean shall add a report to the file. The candidate may provide a written response to the reports within five (5) business days, which the Dean shall place in the file. After the informal review, the Dean (or Associate Dean for Academic Affairs as designee) 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 tenure-track candidate does not demonstrate clearly adequate progress toward tenure, under University Regulations the Dean or a voting majority of the RPT Advisory Committee members may trigger a formal retention review. The triggered formal review shall occur the following fall unless a majority of the RPT Advisory Committee votes to proceed with the review in the current academic year. Regardless of when the review occurs, the Dean must provide written notice of the triggered formal review to the candidate no less than 30 calendar days prior to conducting 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 (either to Associate Professor or to Professor) review follow the same format, except regarding how many external evaluators are included (see section 4.3.e below).

a. Dean responsibilities

By April 1, the Dean will determine the obligatory RPT reviews for the upcoming academic year and will notify, in writing, the faculty members required to be reviewed. The Dean will also invite any other tenured and tenure-track faculty members wishing to be formally reviewed for promotion or tenure to submit a letter requesting review to the Dean by April 15. For each candidate being reviewed, if required, the Dean 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.

At least three (3) weeks prior to the convening of the RPT Advisory Committee, and at least two (2) weeks prior to the file closing date, the Dean shall invite any interested faculty and staff members in the College 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.

In the case of a candidate who has a shared appointment, the Dean 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 shared-appointment unit will submit the report to the Dean by October 5.

The Dean will add the shared-appointment unit report to the RPT file and copy to the candidate. Within five (5) business days, the candidate may submit a response to the report.

At least three (3) weeks prior to the closing of the file, the Dean (or Associate Dean for Academic Affairs as designee) shall notify the college's ASUU Student Senator and the College RPT-SACs of the upcoming review, inform them that their reports shall be due by the file closing date, and ensure training for all members of the RPT-SACs. 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 College RPT Statement, and recognition of unconscious bias. The Dean (or Associate Dean for Academic Affairs as designee) shall also provide the RPT-SACs with a copy of the University's form for RPT-SAC reports. Following training, the Dean (or Associate Dean for Academic Affairs as designee) shall provide the RPT-SAC members with the candidate's relevant teaching-related materials (including at least two (2) different forms of evidence). A College SAC should be asked for a report if the candidate under review taught classes to that group of students or mentored the group of students in an official capacity during the period under review. Each participating SAC should base its report only upon the evidence in the file relevant to its respective group.

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

The RPT-USAC, RPT-GSAC, and RPT-PHDSAC each shall meet to discuss the candidate's teaching file. Using the University's approved RPT-SAC Report form, the RPT-USAC, RPT-GSAC, and RPT-PHDSAC each write and submit a report evaluating the candidate's teaching achievements in accord with University Regulations and using the same standards for teaching as are listed above: excellent, effective, not satisfactory. The report must draw on at least two (2) types of evidence (Course Feedback Forms alone are not sufficient) to support and illustrate the evaluation, articulating as specifically as possible the reasons for the evaluation. All Committee members who attend the meeting will sign the report.

c. Peer Teaching Reviewers

By February 1, the Dean shall select at least two (2) Peer Teaching Reviewers, and then ensure that each Reviewer submits a Peer Teaching Review report to the Dean, who shall add the Peer Teaching Review reports to the candidate's file prior to the file closing date.

d. External Evaluators

The candidate must provide a list of five (5) potential external evaluators and provide any information about potential conflicts by March 15. The Dean, after consulting with the RPT Advisory Committee 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 three (3) external evaluations for each tenure review and each formal promotion review (either to Associate Professor or to Professor).

External evaluators are not required for a mid-probationary formal retention review; however three (3) external evaluators are required for a triggered formal retention review in which a

majority of the RPT Advisory Committee votes that the candidate's research/creative activity is at issue.

For all reviews requiring 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.

The Dean 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 them with a copy of this approved RPT Statement. External evaluators shall be asked to submit their evaluations no later than the file closing date.

For a single candidate, external evaluators may not be used for more than one formal RPT review. Along with a list of all external evaluations included in the file, the College shall include a list of all potential external evaluators contacted.

e. RPT file contents and file closing date

- (1) *File Closing*. The candidate's file will close September 30, except for materials specified as being added subsequent to the closing date.
- (2) *Candidate Responsibilities for File Contents*. By June 1, the candidate shall submit the following items for inclusion in the file: (1) a current curriculum vitae; (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 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 Reports from outside the University, and updates of materials up to the file closing date. (See Appendix A)
- (3) *College Responsibilities for File Contents*. Prior to the file closing date, the Dean shall ensure that the file includes: (1) current University of Utah Course Feedback Reports, (2) available RPT-SAC reports, (3) any written recommendations from College 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 each past review, 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 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 RPT Advisory Committee 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. College RPT Advisory Committee meeting and subsequent steps

- (1) *College RPT Advisory Committee Action.* The full RPT Advisory Committee 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 15. Unless the majority moves to an executive session to exclude non-voting participants per University Regulations, the Dean or others may attend the meeting, and upon invitation by the majority of members, may participate in the discussion and submit evidence, judgments, and opinions, but shall not vote on the Committee's recommendations. 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 Section 4.1.g above).
- (2) *Absent RPT Advisory Committee Members.* Whenever practicable, the Dean shall advise all RPT Advisory Committee 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 absent members.
- (3) *Quorum.* Quorum of the RPT Advisory Committee consists of two-thirds of its members, except that any member unable to attend the meeting because of formal leave of absence or other unavoidable reasons (e.g., illness), and not submitting their written opinion and vote, shall not be counted in the number required for quorum.
- (4) *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 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 just a summary or the conclusions. Additionally, it should include consideration of the RPT-USAC, RPT-GSAC, and RPT-PHDSAC reports and the shared-appointment unit report (if present). The 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 Dean and the candidate, along with a list of all faculty members present at the meeting.
- (5) *Confidentiality.* The RPT Advisory Committee 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 the Committee Chair has with the candidate about the Committee's meeting and recommendation.

- (6) *Dean Action.* After studying the entire file relating to a candidate, the Dean shall prepare a written evaluation and recommendation as to each RPT action, including specific reasons for the recommendation with specific evidence presented, and then place a copy 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 report of the RPT Advisory Committee and/or the evaluation and recommendation of the Dean. The Dean shall place any written response submitted by a candidate in the candidate's file, without comment.
- (7) *Actions and Appeals Procedures Beyond the College Level.* Subsequent procedures are described in University Regulations.

Appendix A: RPT File Contents

Candidate's Responsibility

It is the candidate's responsibility to provide the following documentation to the Dean for inclusion in the RPT file, prior to the file closing date. The candidate should provide all teaching materials early enough for Peer Teaching Reviewers and RPT-SACs to use this material for their reports.

1. Curriculum Vitae. The CV should include at least the following:
 - a. All publications/creative works since the beginning of the candidate's professional career. Must list inclusive page numbers and state if acceptance was based on anonymous review or other selection method.
 - b. Conference papers presented and presentations given.
 - c. Grants and fellowships applied for and received.
 - d. Honors received for research/creative work.
 - e. Graduate student committees served on or chaired.
 - f. Individual student research/creative activity supervised.
 - g. Teaching awards or teaching recognition received.
 - h. Service activities for the University, profession, and public.

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

2. Personal Statement. This document includes the candidate's current activities and progress and accomplishments to date, research agenda, teaching philosophy, and future plans in research/creative activity, teaching, and service.
3. Copies of publications/creative works, including title page of authored or edited books or evidence of article/book/grant/book chapter submission or acceptance. Evidence can include emails from journals, editors, grant officers, or web-links to the publication.
4. Course syllabi for all courses taught in the past year for informal reviews, or since appointment or the previous formal retention review for formal retention reviews. Or, the most recent syllabus for all courses taught since appointment for tenure and promotion review or for the past five (5) years for promotion to professor review. The candidate may also choose to include additional materials, such as assignments, exams, and handouts.
5. Other relevant materials, such as a teaching portfolio, course evaluations 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 and Learning Excellence observe teaching or review teaching materials, the candidate may wish to include a resulting evaluation in the file. Where 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.

College's Responsibility

1. Peer Teaching Review reports based on review of teaching materials and observation of teaching.
2. All Course Feedback Reports from University of Utah courses taught since the last formal review (with a maximum of five (5) 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, but the CV at the time of the last formal RPT review (or appointment, if no previous formal RPT review exists) must be included.
5. Other relevant materials, such as signed recommendations from faculty, staff, or other interested individuals, consistent with University Regulations.
6. Evidence of faculty responsibility. This may include letters from the Dean describing the candidate's service to the College and commenting on professional conduct. If an administrative reprimand has been issued, that reprimand as well as the latest findings, decisions, or recommendations from University committees or officials arising from the concerns about the faculty member that led to the reprimand will be included in the candidate's file.
7. External Evaluator Materials (when required), kept confidential if the candidate has waived the right to read
 - a. Signed form evidencing candidate's waiver or retention of right to read
 - b. External evaluations
 - c. Qualifications of evaluators, normally a brief curriculum vitae
 - d. Indication of who nominated each evaluator (candidate, Dean, or RPT Advisory Committee Chair) and which evaluators declined.
8. Committee report(s).
 - a. RPT Advisory Committee report
 - b. Report of RPT Ad Hoc Subcommittee, if required
 - c. Any candidate's response to RPT Ad Hoc Subcommittee report, if available
9. Dean's written evaluation and recommendation.
10. Any candidate response to the Dean's report and/or the RPT Advisory Committee report.

Appendix B: Notices of Final Approval of RPT Statement

Review Committee Approval:

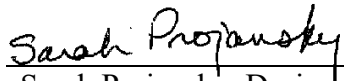


Trina Rich, SFRSC Committee Secretary

September 14, 2022

Date

Senior Vice President Approval:



Sarah Projansky, Designee

January 4, 2023

Date