

Version 2021

Approved Senate Faculty Review Standards Committee: December 10, 2020

Approved Senior Vice President for Academic Affairs: December 16, 2020

Approved Senior Vice President for Health Sciences: February 1, 2021

**University of Utah
Department of Family and Consumer Studies
College of Social and Behavioral Sciences**

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

Revision 1: DEI Language Updates

Approved by Department Tenure-line Faculty: September 18, 2024

Approved by Senate Faculty Review Standards Committee: June 2024

Approved by cognizant Senior Vice President designee: June 2024

Revision 0: Original Submission

Approved by Department Tenure-line Faculty: November 29, 2023

Approved by College Dean: December 29, 2022

Approved by Senate Faculty Review Standards Committee: December 8, 2023

Approved by cognizant Senior Vice President March 27, 2024, to become **effective on July 1, 2024.**

Preface & Mission Statement

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](#).

Mission: The mission of FCS is to advance, communicate, and apply knowledge regarding human development and family wellbeing across the lifespan and within community and societal contexts.

Table of Contents

Preface & Mission Statement.....	1
1. Effective Date and Application to Existing Faculty.....	4
2. Informal and Formal Reviews Schedule	4
2.1 Length of Probationary Period and Schedule of Reviews.....	4
a. Normal probationary period.....	4
b. Reviews schedule	4
c. Shortening or extending the probationary period	5
2.2 Candidates Appointed at the Rank of Associate Professor or Professor, without Tenure	5
2.3 Request for Promotion to Rank of Professor	5
3. RPT Criteria and Standards	6
3.1 Summary of RPT Standards.....	6
3.2 Evaluation of Research Activity	7
a. Description of research activity and evidence to be evaluated.....	7
b. Research activity funding.....	9
c. Summary rating scale for research activity.....	9
3.3 Evaluation of Teaching	9
a. Course instruction	10
b. Curriculum and program development	10
c. Student advising and mentoring.....	11
d. Summary rating scale for teaching.....	11
3.4 Evaluation of Service	11
a. Professional service.....	12
b. University service.....	12
c. Community or Public service.....	12
d. Summary rating scale for service.....	12
4. RPT Procedures	13
4.1 Participants.....	13
a. Candidate.....	13
b. Department Chair	13

c.	Student RPT Advisory Committee (RPT-SAC).....	13
d.	Peer Teaching Reviewers	13
e.	Shared-appointment unit.	13
f.	External Evaluators	13
g.	Department RPT Advisory Committee	13
h.	RPT Advisory Committee Chair.....	13
i.	RPT Faculty Secretary	14
4.2	Informal Review Procedures	14
a.	Purpose of informal reviews	14
b.	First-Year informal review	14
c.	Informal reviews after the first year	14
d.	Triggering formal retention reviews.....	15
4.3	Formal Review Procedures	15
a.	Department Chair responsibilities.....	15
b.	Meeting and Report of Student RPT Advisory Committee (RPT-SAC).....	16
c.	Assignment by RPT Advisory Committee Chair.....	17
d.	Peer Teaching Reviewers	17
e.	External Evaluators	17
f.	RPT file contents and file closing date.....	17
g.	Candidate’s right to comment on file.....	18
h.	Department RPT Advisory Committee meeting and subsequent steps.....	18
Appendix A:	RPT File Contents.....	20
Appendix B:	Notices of Final Approval of RPT Statement	22

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 Department Chair 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 their Department Chair and 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 Department 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 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 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 Department Chair, 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 Department 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 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](#)). 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 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. 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. Separating performance in these three areas is especially helpful in applying standards consistently across candidates. Nevertheless, the three areas of performance are often closely linked. The department RPT Advisory Committee and Department Chair shall therefore attempt to balance the need to separate areas of faculty performance and the need to acknowledge their possible linkages.

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.

This Department embraces the University's Foundational Pillars as articulated [here](#).

3.1 Summary of RPT Standards

Retention: A candidate for retention must demonstrate *reasonable potential* for meeting the standards established for tenure. More specifically, it is important to show progress in establishing an independent research program that shows evidence it will achieve high quality, sustained quantity, and a programmatic nature over time. During the pre-tenure probationary period, faculty members are discouraged from excessive levels of service and will be evaluated accordingly.

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

Associate Professor: A candidate for promotion to this rank must have developed a broad reputation for high quality research and achieved 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 activity resulting in a national and international reputation in their field, at least *sustained effectiveness* 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 Activity

Research activity will be evaluated along four essential dimensions: quality, sustained productivity, programmatic focus, and intellectual independence.

Quality of research will be considered using evidence described in items 1 through 4 in Section 3.2.a, consisting of the professional judgment of departmental colleagues and external experts, evidence of research impact (e.g., number of citations, awards, and other forms), and quality indicators of published work. Sustained productivity is evaluated on the basis of the candidate having an active research program across the pre-tenure probationary period and across the period between tenure and/or promotion to associate professor and the review for promotion to professor in the form of a stream of published traditional and/or applied/community-based research products. The programmatic focus of research activity is assessed using professional judgement of colleagues on the basis of research being focused on a coherent set of issues and producing cumulative knowledge. Finally, intellectual independence is evaluated as the extent to which research activity demonstrates critical thinking and original ideas and is led by the candidate (typically first-authored work). However, the department explicitly values collaborative research, and intellectual independence can be in the form of specific contributions of the candidate in their co-authored research.

The characteristics of research activity differ depending on the candidate's area(s) of specialization and professional goals. Assessments of faculty research activity reflect professional judgments that consider the contributions and the professional context of the candidate. Whereas some discipline-based differences may exist in the standards by which individual faculty activities are evaluated, all faculty members will be evaluated in terms of their contribution to the goals and development of our interdisciplinary department.

a. Description of research activity and evidence to be evaluated

The Department of Family and Consumer Studies expects candidates to contribute significantly and distinctly to the development and dissemination of new knowledge through research activity and publication of research. The Department encourages a wide range of research products. Traditional research products include: publication of original research in refereed journals and conference proceedings; publication of research monographs, book chapters, and book reviews; and presentations at conferences, workshops, colloquia, or seminars.

Other forms of research encouraged by the Department include applied/community-based research products that appear in non-traditional research outlets (e.g., policy analysis, program evaluation, translational research, participatory action research, or community-engaged research). In addition, to enhance engagement and impact, scholars may create and distribute multimedia products or technological innovations (e.g., software, videos, or exhibitions with associated commentary) or contribute to entrepreneurial activities (e.g., partnering with non-profit organizations to advance research or research products).

As well as valuing varied types of research, the Department values use of the full range of quantitative and qualitative research methodologies and data sources. For example, some approaches will emphasize nationally representative data sets and prioritize generalizability of findings. Other research approaches will examine small, strategically selected populations in search of deep understanding of social processes. Still other research will focus on the needs of particular communities and evaluations of community-level interventions. Because of this variety, assessments of faculty research activity should reflect the professional context of the candidate.

This Department also values research activities that explicitly incorporate and address the University's Foundational Pillars. Because research activities contributing in these areas take many forms, the candidate is encouraged to document and articulate how their research activities contribute to explicitly stated relevant University, College, and/or Department goals.

The following evidence is used for evaluation. These indicators of research performance are not listed in order of importance. Most of them will be relevant, however, in the assessment of any given faculty member's level of research performance.

(1) Professional judgement of research by department colleagues based on their research-related interactions with the candidate, such as collaborative publications and presentations. Department colleagues may submit a written assessment of the candidate's qualifications to be included in the file following procedures outlined in section 4.3.a. below.

(2) Professional judgement by experts in the field outside of the Department and University in the form of:

- a. external evaluations solicited by the department (see section 4.3.e.);
- b. Signed letters of reference from colleagues and community partners, obtained by the candidate;
- c. published reviews of candidate's publications;
- d. citations or other uses of the candidate's work;
- e. special awards/honors in recognition of research contributions; and
- f. invitations or elections to serve in professional "gatekeeper" positions, such as being a journal editor, a member of an editorial board, grant review panel member, or a conference organizer.

(3) Quality indicators of published work, such as journal articles, book chapters, and books may include, but are not limited to, the reputation, visibility, and impact of publication outlets. For example, high-quality publication houses for books and chapters; journals associated with high

impact scores and/or well-respected professional associations; and journals with high ranking within the specialty may be used to assess the quality of published work.

(4) Quality indicators of applied/community-based research activity are varied but will generally include a measurable impact. Indicators may include, but are not limited to, assisting non-profit or state/local government entities with developing or adopting community interventions; page views or citations of translational research; and positive reviews and usage metrics for multimedia products, technological innovations, or entrepreneurial activities.

(5) Presentations, lectures, and addresses at international, national, regional, and local conferences, including invitations to be keynote or plenary speakers.

(6) Work in progress, working papers, and other unpublished work, as indicators of future promise but not as a substitute for completed work.

b. Research activity funding

Acquiring funding to support research activity is valued by the University and this Department and is necessary to sustain the mission of the University. Successful as well as unsuccessful efforts to obtain intramural and extramural funding contribute positively to a candidate's performance in research activity, although successful acquisition of grant funds is especially valued.

c. Summary rating scale for research activity

Ratings on the three-point scale below reflect the joint consideration of quantity, quality, programmatic focus, and intellectual independence of research activity as described above.

Excellent: The candidate has made substantial, sustained contributions in one or more topic areas of research. The quality and quantity of research 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. The quality and quantity of research 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 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 Committee (RPT-SAC) report(s). 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. Contributions in non-departmental, educational programs (e.g., Honors; Health, Society and Policy; Gender Studies; Ethnic Studies; Environmental and Sustainability Studies; Master in Public Policy and Master in Public Administration) and professional teaching forums are valued. In addition, this Department values teaching activities that explicitly incorporate and address the University's Foundational Pillars. Because this work in teaching can take many forms, the candidate has the responsibility to document how their teaching activities contribute to explicitly stated University, College, and Department goals.

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. This Department values a variety of teaching modalities and student classroom experiences, such as large introductory classes and small specialized classes, online or hybrid courses, classes built around community-engaged learning, and classes that meet university criteria for graduation (e.g., international, diversity, quantitative, communication/writing). Because there is substantial variation in ways of learning, student talents, and faculty styles, there is no single formula for demonstrating effective teaching. Determination of the level of teaching effectiveness will typically examine some or all of the following aspects:

1. ability to communicate knowledge;
2. maintenance of rigorous standards of course content and student performance;
3. stimulation of student interest, ability to apply knowledge, critical thinking, and life-long learning;
4. incorporation of research activity, both classic and recent, into coursework;
5. promotion of interaction with and among students, both inside and outside the classroom;
6. provision of timeliness and thorough feedback on written work;
7. articulation and implementation of a coherent teaching philosophy; and
8. pursuit of improvement and innovation in teaching (e.g., participation in continuing education concerning teaching, inviting peer teaching assessments).

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 Department, and publication of textbooks or 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) mentoring graduate students with teaching responsibilities, (4) directing undergraduate research or thesis projects, (5) including students in research and as co-authors in scholarly work, and (6) attaining financial support for students to advance teaching and research agendas.

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/or 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/or 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) community or 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. When viewed in their entirety, candidates are expected to develop breadth and depth of their service activities. Breadth involves blending contributions to internal constituencies (Department, College, University) and external ones (profession and community). Depth refers to the intensity, quality, and impact of a candidate's involvement in any particular service activity.

In addition, this Department values service activities that explicitly incorporate and address issues related to the University's Foundational Pillars. Because these types of service activities can take many forms, the candidate has the responsibility to document how their service activities contribute to explicitly stated related University, College, and Department goals.

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 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 or serving in administrative positions) are examples of University service contributions.

c. Community or 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. In general, service commitments that are unrelated to a candidate's scholarly expertise, regardless of their duration or impact, will not be deemed relevant to the evaluation of a candidate's performance as a faculty member. However, if the candidate deems certain services to be relevant, it is the candidate's responsibility to document how these public service activities contribute to University, College, and Department's mission.

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. **Department Chair.** The administrative head of the Department.
- c. **Student RPT Advisory Committee (RPT-SAC).** A committee made up of representatives of undergraduate and graduate students in the Department. It shall have 3+ members, appointed by the Department Chair. The RPT-SAC shall elect its own Chair.
- 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 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. 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. **Department RPT Advisory Committee.** Voting membership of the Department 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 Department RPT Advisory Committee is a tenured member of the Department faculty, elected annually during the Spring Semester, by majority vote of all tenure-line faculty.

- i. **RPT Faculty Secretary.** The Committee Chair designates a Department RPT Advisory Committee member as RPT Faculty Secretary for each candidate to prepare a report of the Committee meeting regarding the assigned 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 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 RPT Advisory Committee Chair shall assign an RPT Faculty Secretary to the candidate. The RPT Advisory Committee Chair and the RPT Faculty Secretary shall review the candidate's research activity, Course Feedback Reports, and service. The Department Chair, the RPT Advisory Committee Chair, and the Candidate's RPT Faculty Secretary shall meet with the candidate to discuss the review and any problems with research activity, teaching, or service. The RPT Faculty Secretary 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.

The candidate's file is due February 15. The review is to be finished at the department level and forwarded to the college by May 1.

c. **Informal reviews after the first year**

Normally by September 15, the candidate shall submit the following materials to the Department Chair, 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 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 Department Chair 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 Department Chair by October 5. Any such report will be added to the RPT file and a copy provided to the candidate.

The Department Chair 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 Department Chair will then add to the file.

The Department Chair 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 RPT Advisory Committee Chair will appoint an RPT Faculty Secretary to review the candidate's file. The RPT Advisory Committee then meets and discusses the candidate's file, after which the RPT Faculty Secretary writes a report summarizing the Committee's evaluation of the candidate's progress toward meeting RPT expectations. The Advisory Committee 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 RPT Advisory Committee Chair, who will add it to the file.

After studying the candidate's file, the Department Chair shall add a letter to the file. The candidate may provide a written response to the Department Chair letter within five (5) business days, which the Department Chair shall place in the file. After the informal review, the Department 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 tenure-track candidate does not demonstrate clearly adequate progress toward tenure, under University Regulations the Department Chair 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 Department Chair 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 whether and how many external evaluators are included (see section 4.3.e below).

a. Department Chair responsibilities

By January 15th, the Department Chair will determine the obligatory RPT 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 tenured and tenure-track faculty members wishing to be formally reviewed for promotion or tenure to submit a letter requesting review to the Department Chair by February 1. 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.

At least three weeks prior to the convening of the RPT Advisory Committee, 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.

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 shared-appointment unit will submit the report to the Department Chair by October 5.

The Department Chair 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 weeks prior to the closing of the file, the Department Chair shall notify the college's ASUU Student Senator and the Department RPT-SAC(s) of the upcoming review, inform them that their report(s) shall be due by the file closing date, and ensure training for all RPT-SAC members. 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 a fair and balanced evaluation. The Department Chair shall also provide the RPT-SAC(s) with a copy of the University's form for RPT-SAC reports. Following training, the Department Chair shall provide the RPT-SAC members with the candidate's relevant teaching-related materials (including at least two different forms of evidence).

b. Meeting and Report of Student RPT Advisory Committee (RPT-SAC)

The RPT-SAC shall meet to discuss the candidate's teaching file. Using the University's approved RPT-SAC Report form, the RPT-SAC writes and submits 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 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. Assignment by RPT Advisory Committee Chair

The elected RPT Advisory Committee Chair will assign a member of the RPT Committee as the RPT Faculty Secretary for each candidate to oversee completion of the candidate's file for the formal review process and to write the committee report.

d. Peer Teaching Reviewers

By February 15th, the Department Chair shall select at least two Peer Teaching Reviewers, and then ensure that each Reviewer submits a Peer Teaching Review report to the Department Chair, who shall add the Peer Teaching Review reports to the candidate's file prior to the file closing date.

e. External Evaluators

The candidate must provide a list of at least five potential external evaluators and provide any information about potential conflicts by June 1. The RPT committee must also provide a list of at least five potential external evaluators and related information by June 1. The Department Chair will oversee the candidate's file 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 external evaluations for each formal tenure review and each formal promotion (either to Associate Professor or to Professor) review.

External evaluators are not required for a mid-probationary formal retention review; however, at least three external evaluators are required for a triggered formal retention review in which a majority of the RPT Advisory Committee votes that the quality of the candidate's research activity is at issue.

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

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 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.

External Evaluators may be used for more than one formal RPT review.

f. RPT file contents and file closing date

- (1) *File Closing*. The candidate's file will close September 15 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 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) *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 Reports, (2) available RPT-SAC report(s), (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 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](#))

g. 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.

h. Department RPT Advisory Committee meeting and subsequent steps

- (1) *Department 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 Department Chair 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 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 Department Chair 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-SAC report and the shared-appointment unit report (if present). The report, including vote counts for each recommendation, should be signed by the RPT Faculty 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 RPT Faculty 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.
- (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) *Department Chair Action.* After studying the entire file relating to a candidate, the Department Chair 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 Department Chair. The Department Chair shall place any written response submitted by a candidate in the candidate's file, without comment.
- (7) *Actions and Appeals 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, prior to the file closing date. The candidate should provide all teaching materials early enough for Peer Teaching Reviewers and RPT-SAC(s) 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.
 - e. Graduate student committees served on or chaired.
 - f. Individual student research 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 activity, teaching, and service.
3. Copies of publications/creative works, including title page of authored or edited books.
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 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 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 Reports 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; 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 Department Chair describing the candidate's service to the Department 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, Department Chair, or RPT Advisory Committee and which evaluators declined.
8. Committee report(s).
 - a. RPT Advisory Committee report
9. Department Chair's written evaluation and recommendation.
10. Any candidate response to the Department Chair's report and/or the RPT Advisory Committee report.

Appendix B: Notices of Final Approval of RPT Statement

Revision 0 Approvals:

Review Committee Approval:

 _____ Trina Rich, SFRSC Committee Secretary	<u>December 8, 2023</u> Date
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Senior Vice President Approval:

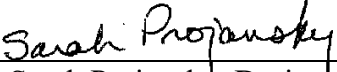
 _____ Sarah Projansky, Designee	<u>March 27, 2024</u> Date
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Revision 1 Approvals:

Review Committee Approval:

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

 _____ Sarah Projansky, Designee	<u>June 2024</u> Date
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