

## **University of Utah College of Engineering Tenured Faculty Review Statement**

Approved by the Tenure-line Faculty of the College: December 21, 2019

Approved by the Dean: December 21, 2019

Approved by the Senate Faculty Review Standards Committee: December 23, 2020

Approved by the Sr. Vice President: January 22, 2021

### **1. Preamble**

The purpose of a Tenured Faculty Review (TFR) is to assist faculty members in their careers and to enhance each faculty member's contribution to the Department/School, College, and University. To that end, we recognize the need for a regular process for assessing and promoting the development and goals of each tenured faculty member. We understand this process to be part of our collegial responsibility and our collective endeavor to enhance our research standing and profile.

Reviews are conducted in accord with the requirements of [Utah Board of Higher Education Policy R481](#) (Post-Tenure Review), University [Policy 6-321](#) (Tenured Faculty Reviews), and this TFR Statement, which has been approved by the College tenure-line faculty, College Dean, Senate Faculty Review Standards Committee, and cognizant Senior Vice President.

All tenured faculty members are reviewed informally each year and—under this policy—formally every five years following the last formal review, to assess achievement in teaching, research/creative activity, and service. For tenured faculty who spend at least half of their time serving in an administrative role, a Tenured Faculty Review will not be done until at least two years after service in the administrative position has ended and may be further delayed an appropriate period of time, as determined by the dean, if one has a lengthy period of administrative service.

### **2. Procedures**

#### **2.1 Semester of Review**

Reviews will be conducted in the Spring Semester.

#### **2.2 Notice to Participants**

To ensure all review participants are adequately informed of the review scheduling, the Department Chair/School Director will:

- a. By November 1, provide notice to the departmental/school TFR Committee of the faculty members due for review each year.

- b. By November 1, provide notice to the faculty member undergoing a review of (1) the file closing date, (2) the information and materials the faculty member is required to submit for the TFR File, and (3) the faculty member's right to submit any additional information they desire the departmental/school TFR Committee to consider.
- c. At least three weeks prior to the file closing date, provide notice to the Department/School's tenure-line and career-line faculty and full-time staff members of the scheduled reviews for the year, and notify them of the opportunity to submit signed written statements to be included in the TFR file by the specified file closing date. The faculty member under review may also notify other University of Utah tenure-line faculty who are experts in their research area, of the opportunity to submit signed written letters of support by the file closing date.
- d. If the reviewed faculty member has a shared-appointment agreement with another academic unit (see [Policy 6-303-III-C](#) and [Policy 6-001-III-A](#)), the Department Chair/School Director must notify that unit's administrator of the review at least thirty (30) calendar days in advance of the file closing date, giving notice of the TFR Committee meeting date and notice that the unit must submit a report to the Department Chair/School Director regarding the faculty member's contributions no more than ten (10) business days after the file closing date.

### 2.3 TFR File

- a. By February 1, the faculty member undergoing a TFR Review shall submit the following items:
  - 1. A current, coherent, and complete curriculum vitae (CV), based on the College of Engineering approved CV Template (available online).
  - 2. A written Personal Statement describing relevant activities and accomplishments for the period of time since the faculty member's most recent formal RPT or TFR review. The Personal Statement should describe the faculty member's professional development over time and future professional plans.
  - 3. One to three examples of research/creative activity.
  - 4. The faculty member may provide any other evidence they choose.
  - 5. External letters of evaluation are not required but candidates have the right to have external letters solicited if they choose. Request for

external letters should follow the COE RPT Guidelines for promotion to professor. Any request for external letters must be made by November 15<sup>th</sup>.

- b. The Department Chair/School Director shall submit the following items by the file closing date:
  1. Course evaluation results for the past five years (developed using the University's approved Course Feedback Instrument and Report, including College of Engineering-specific questions, pursuant to [Policy 6-100-III-N](#)).
  2. At least one peer teaching evaluation conducted since the last formal review. It is the responsibility of the Department Chair/School Director to see that peer teaching evaluations are conducted on one or more lectured classes for which the faculty member has full responsibility.
  3. Any prior final TFR reports and any responses from the reviewed faculty member, and any reports from a shared-appointment unit. (The entire file is not to be included.)
  4. Any signed, written documents submitted for purposes of the review by any members of the Department/School tenure-line or career-line faculty, or staff.
  5. The Department Chair/School Director shall submit a summary of the candidate's service contributions as well as any other appropriate information relevant to the faculty member's teaching and/or research contributions that the Department Chair/School Director is privy to as the administrator of the unit.
  6. Evidence of faculty responsibility. 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 reviewed faculty member's file.
  7. Any signed, written report submitted by the head of the unit with whom a faculty member's appointment is shared [due ten (10) business days after the file closing].
  8. Faculty activity reports (FARs) covering five years prior to the TFR review.

## 2.4 Faculty Member's Rights and Responsibilities Regarding the TFR File

The reviewed faculty member is entitled to see all contents of the TFR file upon request at any time during the review process except any materials protected by confidentiality. The faculty member may respond to any item in the file by written comment submitted within five (5) business days after the specified file closing date. If the file includes a signed written report from a shared-appointment unit, the faculty member may submit a written response within three (3) business days after receipt of the shared-appointment unit report.

It is the candidate's responsibility to make sure the file is complete and reflective of their contributions.

## 2.5 File Closing

The file will close on February 22, at least ten (10) business days before the TFR Subcommittee meets and prepares its report. The file shall be made available to the TFR Subcommittee only after the faculty member has responded to or waived their opportunity to respond to any item contained in the file on the file closing date.

The TFR review process is considered to begin on the File Closing Date. After this date, no data or documents may be added to, deleted from, or changed in the file, except missing information requested by the evaluative bodies, reports, letters of evaluation, and responses that will be added as the case proceeds through the evaluation process.

The faculty member may respond to any item in the file by written comment submitted within seven (7) business days after the file closing date or receipt of written reports.

## 2.6 TFR Committee Composition

Per University Policy, all *tenured* faculty members of the department/school—except for the Department Chair/School Director, Dean, and other administrators who are required by the regulations to make their own recommendations—are eligible to serve on the TFR Committee. No member of the TFR Committee may participate in their own review.

The Chair of the TFR Committee will be the Department/School RPT Advisory Committee Chair, who is elected annually by the department/school's tenure-line faculty. If the Department/School RPT Chair is under TFR review or unable to serve, then the department/school tenure-line faculty will elect a member of the main TFR Committee as the TFR Committee Chair.

The TFR Committee Chair, in consultation with the Department Chair/School Director, will nominate two faculty members from the main TFR Committee to serve on the TFR Subcommittee for each reviewed faculty member. One additional member of the TFR

Subcommittee will be a member of the College of Engineering RPT Advisory Committee (see College RPT Statement for explanation of membership on this Committee). The TFR Subcommittee member selected from the College RPT Advisory Committee will be from outside of the department/school of the faculty member being reviewed. The Chair of the College RPT Advisory Committee will nominate members of the committee to serve on a given TFR Subcommittee in such a way as to distribute the assignments evenly among the College RPT Advisory Committee members.

All members of a given TFR Subcommittee will be at or above the rank of the reviewed faculty member.

All members of the Subcommittee are full and equal participants in the evaluation process. The member of the Subcommittee chosen from the College RPT Advisory Committee will assure that there is a broad, objective perspective, and ensure continuity in how this Statement is applied across the College.

The TFR Subcommittee membership must be approved by the main TFR Committee. Once approved, the TFR Committee Chair will select one of the two members from the Department/School to serve as the TFR Subcommittee Chair.

If there are not at least three (3) faculty members eligible to serve on the TFR Subcommittee for a particular reviewed faculty member, the Department/School will consult with the Dean's Office for guidance regarding the "Small Academic Unit Rule" concept (as described in [Policy 6-303-III-E](#)).

## 2.7 Department/School TFR Committee Meeting and Committee TFR Report

- a. All TFR Committee deliberations and documents are personnel actions and should be treated with confidentiality in accordance with University policy and state and federal law.
- b. The TFR Subcommittee will meet to discuss the file and to prepare a draft report reflecting the faculty member's performance in teaching, research, and service. The report should not be based on any single area.
- c. The report shall include a faculty member's accomplishments and opportunities for further improvement. It must include the TFR Subcommittee's overall findings and recommendations. In particular:
  1. The report must include a specific statement of whether the faculty member has made meaningful and sustained contributions such that they are meeting the standards for a tenured faculty member as described below in *Section 3. Criteria and Standards*.
  2. When appropriate, the report should include commendations and/or strategies and recommendations for improvement of a

faculty member's performance. If commendations are made, the committee is encouraged to identify specific awards for potential nomination or other mechanisms for recognition.

3. When appropriate, the report should include a timeline for follow-up reviews.
  - d. If the faculty member under review holds a shared appointment, the report shall reflect discussion and consideration of any document submitted by the shared-appointment unit.
  - e. The TFR Subcommittee will consult with the faculty member while preparing the report to ensure accuracy of included information or to discuss any contemplated recommendations. If the candidate so chooses, they may request a review and finalization of the TFR Report by the entire TFR Committee.
  - f. If the reviewed faculty member does not request review and finalization of the TFR Report by the TFR Committee, the report, prepared jointly by TFR Subcommittee members, will become the Committee TFR Report when approved by a majority vote of the TFR Subcommittee members.
  - g. If the reviewed faculty member requests review and finalization of the TFR Report by the TFR Committee:
    1. The TFR Committee meeting shall take place no later than April 10.
    2. Whenever practicable, the Department Chair/School Director shall advise all TFR Committee members on leave or otherwise absent of the review and shall request their written opinions in advance of the meeting. Absent members' written opinions shall be disclosed at the meeting and their votes regarding the Committee TFR Report (see 2.7.g.5 below) shall be counted and recorded the same as other votes.
    3. By majority vote, the TFR Committee may invite other faculty members, including the Department Chair/School Director, to participate in the TFR Committee meeting and discussion of the report. These other participants do not vote.
    4. Following the TFR Committee meeting, the draft report must be shared with all TFR Committee members, and then, if needed, revised based on their review and feedback.
    5. The draft report, with any such revisions made, will become the

Committee TFR Report when approved by vote of a majority of the TFR Committee members. The outcome of the vote (tallying yay, nay, abstain, and absent votes of all voting committee members) shall be included in the Committee TFR Report, and the report will be signed by the TFR Committee Chair.

- h. No later than April 15, the TFR Committee Chair shall send the Committee TFR Report to the reviewed faculty member, who has the opportunity but not the obligation to respond in writing within five (5) business days. The Committee TFR Report, and any written response of the reviewed faculty member, will be included in the TFR file.
- i. The TFR Committee Chair shall then send the TFR file, including the Committee TFR Report and any response from the reviewed faculty member, to the Department Chair/School Director and Dean.

## 2.8 Finalizing a TFR Report

- a. The departmental/school Committee TFR Report will serve as the Final TFR Report if no party seeks review of the report by the University Promotion and Tenure Advisory Committee (UPTAC).
- b. As provided in Policy 6-321, if the reviewed faculty member, the Department Chair/School Director, or the Dean disagrees with the Committee TFR Report, any of these parties may seek review by UPTAC following the procedures outlined in Policy 6-304. A party who chooses to seek review must notify UPTAC of that intention within fifteen (15) business days of receipt of the Committee TFR Report. UPTAC procedures and its role in finalizing the TFR report are described in [Policy 6-304](#) and [Policy 6-321](#).

## 2.9 Action after Final TFR Report

- a. If the faculty member is found to be meeting the standards for a tenured faculty member in the department/school, the cognizant Senior Vice President will formally acknowledge the evaluation and will consult with the Dean and Department Chair/School Director to designate an appropriate recognition for the achievement.
- b. If the faculty member is found not to be meeting the minimum standards required of a tenured faculty member in the department/school, the Dean and Department Chair/School Director, together with designated members of the TFR Committee and other faculty members as needed, shall work with the reviewed faculty member to implement the recommendations of the

Final TFR Report. The reviewed faculty member is responsible for executing the implementation plan.

### **3. Criteria and Standards**

- a. The review shall result in a determination of whether the reviewed faculty member is *meeting the standards for a tenured member in the Department/School*.
- b. Areas considered in TFR are quality of performance (a) in research/creative activity; (b) as a teacher; and (c) of service to the University, profession, and public.
- c. In order to make meaningful and sustained contributions, a tenured faculty member in the department/school must meet the standards and criteria for research, teaching, and service as defined in the College RPT Statement, with recognition that relative contributions in the areas of research, teaching, and service can change over the career of a faculty member.
- d. Diversity is a core value of the University of Utah'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. The College of Engineering and its departments/school share this mission and these values.
- e. The review will focus on accomplishments during the five (5) years prior to the TFR review, within the context of sustained contributions and accomplishments over the career of the tenured faculty member.

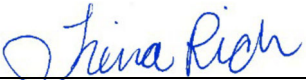
### **4. Relationship to Other Processes**

In the course of any review of a tenured faculty member, if an issue arises under the Code of Faculty Rights and Responsibilities ([Policy 6-316](#)), such as an issue that is appropriate for consideration by the University's Office of Equal Opportunity and Affirmative Action ([Policy 1-012](#)), the Senate Committee on Academic Freedom and Faculty Rights ([Policy 6-010](#)), or the Senate Consolidated Hearing Committee ([Policy 6-011](#)), that issue should proceed as is appropriate under the relevant Policy. If a case is referred to or a complaint filed with one of these bodies, those entities may request that the tenured faculty review process be suspended until the matter is resolved.




**Appendix A: Notice of Senate Faculty Review Standards Committee and Vice Presidential Final Approval.**

*Review Committee Approval:*

 _____	<u>1/22/2021</u> _____
Trina Rich, SFRSC Committee Secretary	Date

*Senior Vice President Approval:*

 _____	<u>1/22/2021</u> _____
Sarah Projansky, Designee	Date