

Policy 6-302: Appointments of Faculty

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I. Purpose and Scope

A. Purpose.

This policy governs all appointments of tenure-line faculty (of any rank), including annual appointments after retirement, and all appointments of career-line, adjunct, and visiting faculty, of any rank (including initial appointments, reappointments, reappointments in a different category, and reappointments with promotion to higher rank). FN 1

This policy is not intended to be the primary regulation for appointment of administrative officers, as such. In instances in which a candidate is being appointed as an administrative officer and contemporaneously being considered for a faculty appointment, reference should be made to both this section governing the faculty appointment process, and to those regulations and statutes applicable to appointments of administrative officers, including Policy 2-005; Policy 6-311; Utah Board of Higher Education Policy R205; and Utah Code 53B-2-102 and 53B-2-106. FN 2

This policy is not intended to regulate the process of granting of tenure. In instances in which a candidate is being considered for the granting of tenure contemporaneously with being initially appointed to a tenure-line faculty position, reference should be made to both this policy governing the faculty appointment process and to those policies applicable to the granting of tenure, Policy 6-303 and Policy 6-311. FN 3

B. Scope.

[reserved]

II. Definitions

[reserved]

III. Policy

A. General Policies

1. The President of the University has final authority to appoint members of the faculty. The president's authority to initiate the process of making such appointments is delegated to the affected departments and colleges as described in this policy, and procedures are established here for presenting the president with recommendations from faculty within those departments and colleges. FN 4
2. Criteria for appointment and reappointment to faculty positions shall be determined by each department's faculty appointments advisory committee. Appointment of tenure-line faculty members shall be consistent with the approved criteria formulated for use in retention, promotion, and tenure reviews per Policy 6-303. The criteria should take into account and accord appropriate weight to the objective of developing a faculty with diverse educational backgrounds, varying intellectual experiences, and broadly ranging academic interests. The fact that an otherwise qualified candidate for appointment received one or more degrees from the University of Utah does not disqualify that candidate from appointment to a faculty position; nor does prior service as a career-line, adjunct, or visiting faculty member in any way disqualify a candidate for appointment to the tenure-line faculty. For career-line, adjunct, and visiting faculty, criteria for initial appointments shall be determined through a similar process, and reappointments (including reappointments with promotion) shall be based on the statement of criteria developed pursuant to Policy 6-310.
3. Each appointment to any tenure-line faculty position and rank shall be dependent upon the availability of reliable funding as determined by the president.
4. The chairperson of each department, in consultation with the department's faculty appointments advisory committee may determine the appropriate methods of recruiting candidates to be considered for faculty positions. Recruitment methods shall be consistent with the University's strong commitment to equal opportunity and diversity. Such methods may, and for

appointments of tenure-line faculty ordinarily will, include formation of a representative and diverse search committee, including members of the department faculty and when appropriate nonfaculty and representatives from outside the department. Administrative officers charged with overseeing the University's commitment to equal opportunity and diversity are available to assist departments in developing appropriate recruitment methods.

5. The principle of consultation with faculty should be observed to the fullest extent possible, consistent with efficient management of appointments. As described in greater detail in the following subsections, recommendations for appointments should be initiated at the departmental level and subsequently submitted to the dean of the college, the faculty appointments advisory committee of the college in certain cases, and the cognizant senior vice president, before presentation to the president.
6. Candidates for appointment and reappointment to faculty positions should be given reasonable notice about the University Procedures that will be followed for consideration of such appointments, including the roles to be played by advisory committees and administrators.
7. Whenever it is proposed that a candidate be considered for immediate granting of tenure contemporaneously with an initial appointment to the faculty, there must be compliance with both this policy regarding appointments and all University policies regarding granting of tenure, including Policy 6-303.

B. Department Faculty Appointments Advisory Committee

1. In each department, there shall be a departmental faculty appointments advisory committee. The committee membership shall include all of the tenure-line faculty, except as follows. The chairperson of the department shall serve as chairperson of the committee but shall not vote on actions of the committee. Deans, and other administrative officials who are required by the regulations to make their own recommendations in an administrative

capacity, and who hold tenure-line faculty appointments within the department, may attend meetings and participate in discussions, but shall not vote on actions of the committee. If approved by a majority of the tenure-line faculty, other interested persons, who may include other faculty of the department and from outside the department, staff, students, and community representatives, may be allowed to participate in discussions with the committee, but shall not vote on actions of the committee. Current career-line faculty (as described in Policy 6-300) may be allowed to serve as voting members of the departmental faculty appointments advisory committee for particular cases involving either appointments or reappointments to career-line, adjunct, or visiting faculty positions, if (a) the cognizant college council has adopted a policy allowing such participation of career-line faculty for departments within the college, and (b) a majority of the tenure-line faculty of the department has approved the inclusion of career-line faculty on the committee either by continuing policy or for purposes of a particular appointment decision. Such policies may provide for inclusion of all current career-line faculty within any specified categories and ranks, or for a specified number of representatives of any categories (with a specified means of selecting such representatives). Whenever any career-line faculty members are made members of the committee for purposes of a particular appointment recommendation, the department chairperson shall include a description of such participation in the written report transmitted to the dean of the college as provided below.

2. Ordinarily, meetings of the committee shall be conducted with members physically present at the meeting site. When the chairperson determines that circumstances make such a meeting impractical for a majority of eligible members, voting may be conducted through virtual meetings (e.g., Zoom, Teams) telephone, electronic mail, or similar means of communication. Such alternative voting methods should be used only rarely and in exigent circumstances for appointments of tenure-line faculty, but may be used as a matter of course for other appointments. The chairperson of the committee

shall provide members with as much notice as is practicable under the circumstances of the intent to conduct voting through such an alternative method.

3. A quorum of the department faculty appointments advisory committee shall consist of two-thirds of the members entitled to vote except that any member unable to participate in the meeting because of formal leave of absence or medical condition shall not be counted in determining the number required for a quorum.
4. Whenever practicable, the chairperson shall advise each eligible member on leave or otherwise absent and unable to participate in the meeting of the proposed action and shall request their written opinion and vote. Absent members' written opinions shall be disclosed during the meeting, and their votes will be recorded and counted the same as and collectively with other votes. Absentee votes must be received prior to the meeting during which a vote is taken by the committee.

C. Action by the Department Faculty Appointments Advisory Committee

1. The department chairperson shall convene and chair the department faculty appointments advisory committee at appropriate times to consider proposed appointments.
 - a. All committee deliberations and votes are personnel actions and should be treated with confidentiality in accordance with policy and law. By majority vote the committee may at any time move to executive session, from which some or all nonvoting participants may be excluded to ensure such confidentiality.
 - b. Committee votes on specific candidates shall presumptively be conducted by secret ballot. However, any such vote shall instead be conducted by open ballot if the voting members of the committee, through a secret ballot taken at or before the meeting, unanimously determine that open balloting is appropriate under the circumstances for any particular vote.

- c. In all cases when the committee uses secret ballots, and any individual member's vote is submitted in written form because the individual is an absentee voter, or because voting is conducted through electronic mail or other alternative means as permitted above, that member's vote shall be treated as made by secret ballot unless otherwise authorized by the member.
2. After full consideration and discussion, the votes of the committee members shall be taken as follows, for each candidate considered:
 - a. For appointments of tenure-line faculty, first, all members of the committee shall vote on a recommendation as to the making of the appointment generally, with the appointment to be made carrying at least the lowest rank applicable for the type of position being filled. Second, if it is proposed that the appointment be made at any higher rank, then there shall be a separate vote taken among only those members holding a rank equivalent to or higher than the proposed appointment rank, and they shall vote on a recommendation as to that specified higher rank.
 - b. For appointments or reappointments of career-line, adjunct, or visiting faculty (including reappointments with or without promotion in rank), a single vote shall be taken, encompassing the specific category (lecturer, clinical, research, visiting, or adjunct), the specific rank (instructor, assistant professor, associate professor, or professor), and the term duration of the appointment being considered, and all voting members of the committee shall vote (including all tenure-line faculty regardless of their rank, and any career-line faculty added to the voting membership of the committee permitted above).

D. Action by Department Chairperson

1. Subsequent to receiving the recommendations of the department faculty appointments advisory committee, the department chairperson shall prepare a written recommendation on the appointment or reappointment of each

candidate, and if the recommendation of the chairperson differs from the recommendations of the committee with regard to the appointment or reappointment generally or the specific rank or term of duration of the appointment or reappointment, the chairperson shall state specifically the reasons for such difference.

2. The department chairperson shall then transmit to the dean of the college a written report of the action of the department faculty appointments advisory committee, including a tabulation of the votes taken, together with the chairperson's recommendations.

E. Action by Dean and College Advisory Committee

1. The college council of each college shall adopt a policy determining: (a) whether the college will maintain a standing college faculty appointments advisory committee, (b) from which faculty of the college the committee members shall be drawn, and (c) what role such a committee shall have in making recommendations with respect to appointments of tenure-line or other faculty. If there is no college policy providing for a standing faculty appointments advisory committee applicable to a particular type of appointment, the dean of the college may act without further consultation with faculty of the college, or may ask another appropriate standing college committee or an ad hoc committee to study further any individual proposed appointment. The dean of the college shall consider the recommendations of the department faculty appointments advisory committee, the department chairperson, and the college committee, if any.
2. The dean shall then prepare their written recommendations, together with reasons therefor, and forward the entire file to the cognizant senior vice president.

F. Action by Cognizant Senior Vice President, President, and Senate

1. The vice president shall review the previous action on candidates for appointment or reappointment and may, at their discretion, require further

clarification of individual cases. For cases involving reappointments of long-serving full-time career-line faculty members, the vice president sends certain types of cases to the University Career-Line Reappointment Committee for review and recommendations, as more fully described in and governed by Policy 6-310.

2. The vice president shall then forward the entire file with a recommendation, where appropriate, to the president.
3. The president shall then inform the Academic Senate of proposed appointments to the faculty (but not reappointments of career-line, visiting, or adjunct faculty). If a majority of the Senate objects to any proposed appointment, the objection shall be referred to the Executive Committee of the Senate for investigation and review. The Executive Committee shall prepare a report and shall transmit that report to the president per Policy 6-001.
4. The president shall make a determination for each individual appointment. The decision of the president is final.

G. Provisional Appointments of Visiting Faculty.

Provisional nontenured appointments of visiting faculty for a duration up to one year shall be made by the Procedures outlined in this policy, except that for such appointments if the chairperson of the department determines that circumstances require the use of expedited procedures, then such appointments may be made without advance consultation with either the department faculty appointments advisory committee or college appointments advisory committee. In such cases, members of the department faculty appointments advisory committee shall be notified of the appointment as soon as practicable. The continuation beyond one year of any appointment initially made by such expedited procedures shall not be permitted until the full procedures outlined in Sections A-F of this policy shall have been carried out. (See the definition of visiting faculty given in Policy 6-300, Section 4.D.5).

H. Appointments Initiated by Dean, Vice President, or President

1. The delegation of authority for initiation of appointments to the faculty, referred to above, shall not prevent any dean or the cognizant vice president or president from initiating appointments when, in their judgment, the best interest of the university will be served by doing so.
2. In the event the president, vice president, or a dean initiates an appointment, the proposed action shall first be referred to the appropriate department appointments advisory committee and thereafter the procedures described in this policy, as appropriate, shall be followed.

Sections IV- VII are for user information and are not subject to the approval of the Academic Senate or the Board of Trustees. The Institutional Policy Committee, the Policy Owner, or the Policy Officer may update these sections at any time.

IV. Policies/ Rules, Procedures, Guidelines, Forms and other Related Resources

- A. Policies/ Rules. [*reserved*]
- B. Procedures, Guidelines, and Forms. [*reserved*]
- C. Other Related Resources. [*reserved*]

V. References

- A. Utah Code Section 53B-2-106
- B. Policy 6-301: Appointment, Annuities, and Retirement
- C. Policy 6-303: Review of Tenure-Line Faculty Members (RPT Criteria, Standards, and Procedures)

VI. Contacts

The designated contact officials for this Regulation are:

- A. Policy Owner(s) (primary contact person for questions and advice): Associate Vice President for Faculty and Associate Vice President for Health Sciences
- B. Policy Officer(s): Senior Vice President for Academic Affairs and Senior Vice President for Health Sciences

See Rule 1-001 for information about the roles and authority of policy owners and policy officers.

VII. History

Revision History.

A. Current version. Revision 9.

- 1. Approved by -- Academic January 10, 2022 and Board of Trustees February 8, 2022, with effective date of February 8, 2022
- 2. Legislative History
- 3. Editorial Revisions
 - a. Editorially revised June 26, 2023 to move to current regulations template

B. Previous versions.

- 1. Revision 8. Effective Date May 15, 2015.
- 2. Revision 7. Effective March 9, 2010
 - a. Legislative History for Revision 7.
- 3. Revision 6. Effective Date February 11, 2008.
 - a. Legislative History for Revision 6.
- 4. Revision 5. Effective July 1, 2007.
 - a. Legislative History for Revision 5.
 - i. 6-302 Rev. 5 Description
 - ii. Drafting Notes – Spring 2007 Proposal

5. Revision 4. Effective Date March 8, 1999.

6. Revision 3. Effective Date May 3, 1982.

C. Renumbering

1. Renumbered from PPM 9-5

Footnotes

1. This policy has no application to appointments for positions which carry classroom teaching responsibilities but are not faculty positions, including associate instructors, teaching fellows, and similar positions. See Policy 6-309. See also Policy 6-310, describing requirements for appointments, evaluations and reappointments of such non-faculty personnel.

2 In cases involving such contemporaneous consideration of a candidate for initial faculty appointment, and administrative appointment, and/or granting of tenure, the responsibilities and procedures described here and in other pertinent regulations must be coordinated appropriately, including as follows.

For appointment of an academic dean, department chairperson, vice president, or other administrative officer who is also to be considered for a faculty appointment, the search and the administrative appointment should be conducted in accord with Policy 2-005 (search originates with president or cognizant vice president, who shall arrange for faculty input). Once that search has produced one or more candidates for a faculty appointment, consideration of the faculty appointment must proceed as prescribed in this policy, including presentation of the candidate to appropriate representatives of the affected department/college for their recommendations.

In the case of appointment of the president of the University who is also to be considered for a faculty appointment, the search and the administrative appointment should be conducted in accord with Procedures of the Utah Board of Higher Education, and when the search has produced a candidate for faculty appointment, consideration of the faculty appointment must proceed as prescribed in this policy, including

presentation of the candidate to appropriate representatives of the affected department/college for their recommendations, and those recommendations must be presented to the cognizant vice president and interim or acting president for final decision.

3 In instances in which a candidate is being considered for granting of tenure contemporaneously with being initially appointed to a faculty position (i.e., hiring with tenure), whether or not the candidate is also being considered for an administrative appointment, the process of granting of tenure should be conducted in accord with Policy 6-303, and the process of making the faculty appointment must be conducted in accord with this policy. Inasmuch as there are certain differences between the procedures required for each decision, care should be taken to ensure that the procedural requirements for each are satisfied, in addition to ensuring that the appropriate substantive criteria are employed for each decision.

Procedurally, at the departmental level, the department chairperson must serve as chairperson of the Faculty Appointments Advisory Committee (as provided in this policy), yet cannot serve as chairperson of the Tenure Advisory Committee (See Policy 6-303). The makeup of each advisory committee may also differ in certain circumstances (compare this policy to Policy 6-303). Therefore, the respective chairpersons of each committee should ensure that only eligible voters participate in each decision.

At the college level, for purposes of faculty appointments (with or without contemporaneous granting of tenure), each college has the option of having candidates reviewed by a college-level Faculty Appointments Advisory Committee. For granting of tenure however, review by the college-level Tenure Advisory Committee is mandatory (as provided in Policy 6-303.) There should be coordination of these differing college-level proceedings in cases involving contemporaneous candidacy for an initial faculty appointment and granting of tenure (i.e., hiring with tenure).

Subsequent to the college-level review, there are different procedures to be followed for the tenure granting decision (most importantly review by the University Promotion and

Tenure Advisory Committee, per Policy 6-303), and the faculty appointment decision (described here), for which there is no equivalent of UPTAC.

4 The regulations stated here in this policy are stated in terms appropriate for the most widely adopted form of organizational structure, in which a faculty appointment is made in a subdivision known as an "academic department," which is organized together with related subdivisions in a parent "college." There are several variations in organizational structure relevant to appointments of faculty, as explained in Policy 6-001. These regulations in this Policy shall be interpreted for appropriate adaptation to accommodate such relevant variations in organizational structure, including the following.

- a. Where necessary, the term "department" shall refer to an academic subdivision within a parent college, which operates as equivalent to a department but is known by another name, including any "free-standing division" or "school."
- b. Where necessary, the term "college" shall refer to an academic organization which operates as equivalent to a college, but is known by another name, including a "school."
- c. For colleges that have no formal internal academic subdivisions (known commonly as 'single-department colleges' or 'nondepartmentalized colleges'), faculty appointments are made to positions in the college. Accordingly, the procedures described here for development of criteria, conducting recruiting, and making appointments shall be modified appropriately, including as follows:
 - i. Formulation of criteria for appointments, described in this policy, shall be conducted within the college.
 - ii. The functions described throughout this policy as being performed by a department-level faculty appointments advisory committee shall instead be performed by a standing college faculty appointments advisory committee. The description of the membership and leadership of the committee shall be interpreted to

include appropriate modifications, including that committee members shall be drawn from the college faculty, the tenure-line faculty of the college shall determine in each instance whether career-line faculty shall be members of the committee for purposes of a particular appointment, and the college dean will be the non-voting chair of the committee.

- iii. The functions described throughout this policy as being performed by a department chair shall be performed by the college dean, including such activities as determining recruitment methods, arranging for and chairing meetings of the advisory committee, preparing recommendations, and transmitting written reports to the vice president.
- iv. The actions described in this policy and elsewhere as being performed by a college dean and college-level advisory committee after recommendations are made at the departmental level shall be inapplicable. Instead, appointments recommendations from a single-department college shall be transmitted directly to the cognizant vice president.

For appointments (including reappointments), of lecturing career-line faculty in the qualified Interdisciplinary Teaching Programs governed by Policy 6-310, these Procedures shall be modified appropriately to accommodate the organizational structures of such programs, as shall be described in statements approved in accordance with Rule 6-310 (IDTP).