University of Utah
School of Biological Sciences
College of Science

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

Approved by School Tenure-Line Faculty: September 17, 2024
Approved by College Dean: September 19, 2024
Approved by Senate Faculty Review Standards Committee: February 6, 2025
Approved by cognizant Senior Vice President: March 11, 2025, to become **effective on July 1, 2025.**

Preface

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

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1. Effective Date and Application to Existing Faculty

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

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

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

2. Informal and Formal Reviews Schedule

2.1 Length of Probationary Period and Schedule of Reviews

a. Probationary period

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

b. Reviews schedule

The School shall conduct either a formal or an informal review of a candidate in each year of the probationary period (as indicated in Table 1 below). Additionally, the School 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: Reviews Schedule

Rank at Appointment	Year of Informal Review	Year of Formal Review
Assistant Professor	1st, 2nd, 3rd, 5th, 6th	4th, 7th

Associate Professor or Professor (without tenure)	1st, 2nd, 4th	3rd, 5th

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

c. Shortening the probationary period

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

d. Extending the probationary period

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

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

The School 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 School 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. A candidate may request review for promotion to the rank of professor in lieu of the first Tenured Faculty Review (TFR) that occurs five years after tenure is achieved (see Policy 6-321).

2.4 Relationship to other Processes

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

faculty review process be suspended until the matter is resolved; otherwise, the review proceeds based on the criteria, standards, evidence, and evaluation processes as articulated in this Statement.

3. <u>RPT Criteria, Standards, Evidence, and Evaluation</u>

The University and this School 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, (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 four-level scale of standards for evaluating performance: *excellent*, *very good, effective*, and *not satisfactory*.

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

Per Policy [6-303](), in carrying out their duties in research, 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, teaching, and service may consider the candidate's conduct as a responsible member of the faculty, based on the evidence in the file.

3.1 Summary of RPT Standards for all Criteria

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

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

> <u>Associate Professor</u>: A candidate for promotion to this rank must have developed a broad reputation for at least *sustained effectiveness* in research; 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 is on a trajectory to achieve the requirements for the rank of Professor in due course.

> To achieve sustained effectiveness in research and therefore be eligible for promotion to Associate Professor, there must be evidence that the candidate has established a research program that is substantially independent from that of the candidate's graduate and postdoctoral mentors. Modern biology is highly collaborative, so "independent" does not mean "isolated." However, an Associate Professor should be fully in charge of their own research directions and activities, and should clearly be capable of further growth as an

independent principal investigator. Evidence of independence will come primarily from the candidate's peer-reviewed research publications and other ongoing research activities.

<u>Tenure</u>: A candidate for tenure must achieve ratings of *excellent* in research, at least *very good* in teaching, and at least *effective* in service.

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

The evidence must demonstrate sustained professional growth and leadership in research, teaching, and service in the years following the granting of tenure and promotion to or appointment at the rank of Associate Professor. Thus, promotion to Professor requires evidence that high levels of achievement have been maintained and expanded over time. To achieve sustained excellence in research and therefore be eligible for promotion to Professor, there must be evidence of continuity and development of research programs, maintenance of a research group, and recognition of research achievements nationally and internationally. To achieve the ranking of very good in teaching and therefore be eligible for promotion to Professor, there must be evidence of contributions to the development and improvement of courses and contributions to graduate or post-graduate education programs. To achieve sustained effectiveness in service and therefore be eligible for promotion to Professor, there must be evidence of contributions to the quality of the School, the University, and the profession through administrative and other leadership activities.

3.2 Evaluation of Research

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

a. <u>Description of research and evidence to be evaluated</u>

The School recognizes and evaluates contributions and accomplishments of all of the following kinds:

a. Original research published in respected and high-impact peer-reviewed journals;
b. Other published scholarly writing, such as technical books, book chapters, review articles, symposium contributions, and technical commentaries;
c. Invited or peer-reviewed presentations at prestigious scientific meetings and at highly ranked research and educational institutions;
d. Success in obtaining external funding as needed to support a research program.
e. Demonstrate leadership in other ways that indicate recognition of research by scientific peers.

Modern biological science is extremely diverse. Different fields ask very different questions, pursue them with a great variety of approaches and techniques, and have their own unique traditions. The School aims to encompass much of this diversity, which is a source of strength and stimulation. Thus, we recognize that excellence and effectiveness can only be generally defined and that they are best judged on a case-by-case basis, in context, and by researchers with substantial experience in the candidate's field of study. For this reason, external evaluations of the candidate's research by experts without any conflicts of interest are an important component of the RPT process in this School.

All reviewers (external and internal) inevitably make some use of generic indicators such as numbers of papers published in peer-reviewed journals, first and/or senior authorships on those papers, the perceived editorial standards and selectiveness of the journals, and number and dollar amount of funded grant proposals. But quantitative measures of accomplishment to be expected under these and other headings vary widely among fields, and for a variety of reasons. For example, first and senior authorships must be relatively less frequent in fields within biological sciences where much of the most significant research is published with numerous collaborators from multiple institutions or research groups. Citation of published research is often used, validly, as a measure of research influence, but here too the rates to be expected vary substantially among fields because of their sizes and publishing habits, among other things; in addition, some highly original and significant papers may be little cited at first, when few people understand or notice them, but later become very influential. Thus, all of these indicators provide evidence about the significance of a candidate's research accomplishments, but the weight of that evidence depends on its analysis and interpretation by experts who understand the substance of the research and the fields to which it contributes.

A letter is sent to each individual who has agreed to provide an external review, formally soliciting that individual's evaluation of the candidate's research. We ask the reviewer to rate the candidate's career trajectory in relation to others in that field at similar career stages, with respect to the reviewer's understanding of the expectations for promotion and tenure at major research universities, and to give reasons for their opinion. Those reasons are usually specific and illuminating, and many reviewers explicitly state how they think the candidate's file would be evaluated in their own School. Broad concordance among the evaluations provided by highly qualified external reviewers provides strong evidence that the candidate's work does or does not meet the general standards articulated above.

b. **Research funding**

External funding to support research is valued by the School and supports the mission of the University. External funding is essential for maintaining and leading an active research enterprise, although the quantity and sources of funding differ significantly across disciplines. Candidates undergoing formal review for retention are expected to be actively engaged in the pursuit of needed funding. Candidates undergoing review for tenure and/or promotion are expected to demonstrate that their research enterprise has received sufficient funding to maintain the research group, productivity, and research excellence in keeping with tenure and/or advancement in rank.

Sources of funding include research grants or contracts, and support from foundations, donors, or societies, and can be obtained by the candidate as PI or by members of a research group under the direct mentorship of the candidate and in support of the candidate's research.

c. Summary rating scale for research

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

Excellent: The candidate has made substantial and impactful 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.

Very Good: The candidate has made substantial 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 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 and suggest that eventual contributions will be substantial and impactful.

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

3.3 Evaluation of Teaching

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

a. Description of teaching activity and evidence to be evaluated

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

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

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

i. Course Instruction

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

ii. Curriculum and program development

Academic programs require significant investments of faculty time in ongoing curriculum/program development and maintenance. Examples of these kinds of contributions include development and teaching of new courses, development of new curricula or programs for the School, and publication of instructional textbooks or other teaching materials.

iii. Student advising and mentoring

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

b. Summary rating scale for teaching

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

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

Very Good: The candidate has made substantial contributions course instruction and in areas of curriculum/program development and/or student advising and mentoring.

Effective: The candidate has made acceptable contributions to course instruction and in areas of curriculum/program development and/or student advising and mentoring.

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

3.4 Evaluation of Service

a. Description of service activity and evidence to be evaluated

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

i. Professional service

Professional service primarily takes place at a national or international level. This service may be oriented toward professional organizations, and it includes activities such as holding office;

participating in the organization or operation of conferences; attending professional meetings; serving as chair, discussant, or reviewer for presentations at professional meetings; serving on various professional committees, panels, or boards (e.g., accreditation boards); and presenting professional workshops. Professional service contributions may also include serving as editor, associate editor, editorial review board member, or regular reviewer for scholarly or professional journals, reviewing book proposals, book manuscripts; and reviewing grant proposals for national funding agencies (e.g., National Science Foundation or Spencer Foundation).

ii. University service

This category includes service to the School, 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.

iii. Public service

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

b. Summary rating scale for service

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

Excellent: The candidate has made substantial and impactful contributions to the University in addition to contributions to the profession and/or the public.

Very Good: The candidate has made substantial contributions to the University in addition to contributions to the profession and/or the public.

Effective: The candidate has made acceptable contributions to the University in addition to contributions to the profession and/or the public.

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

4. RPT Procedures

4.1 Participants

The following are the participants in RPT reviews:

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

b. **School Director**. The administrative head of the School.

c. **Undergraduate Student RPT Advisory Committee (RPT-USAC) and Graduate Student RPT Advisory Committee (RPT-GSAC)**. The RPT-USAC is a committee made up of representatives of undergraduate students in the School. The RPT-GSAC is a committee made up of representatives of graduate students in the School. Each Committee shall have at least 3 members, elected by their peers. The RPT-SACs shall elect their own Chairs.

d. **Peer Teaching Reviewers**. Peer Teaching Reviewers are tenured faculty members who write peer teaching review reports based on both review of teaching materials and observation of teaching.

e. **Shared-Appointment Unit**. This is another academic unit of the University, in which an RPT candidate under review currently has substantial responsibilities, but in which they do not hold a tenure-line position (see University Policies 6-001 and 6-300).

f. **External Evaluators**. These experts from outside the University of Utah evaluate the candidate's research. 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, which is defined as anyone with a coauthored paper, grant or grant proposal, or other major project within the last five years. A candidate will have the opportunity before evaluations are solicited to identify these relationships and any conflicts with any other potential evaluators, all of whom shall be excluded from the list of potential external evaluators.

g. **School RPT Advisory Committee**. Voting membership of the School 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.

h. **School RPT Advisory Committee Chair**. The Chair of the School RPT Advisory Committee is a tenured member of the School faculty, elected annually during the Spring Semester, by majority vote of all tenure-line faculty.

i. **Secretary**. The School RPT Advisory Committee Chair will assign a Secretary. The Secretary prepares a report of the Committee meeting for each candidate.

j. **RPT Subcommittee**. This subcommittee prepares an RPT Subcommittee report about an RPT candidate for consideration by the School RPT Advisory Committee. The Chair of the School RPT Advisory Committee appoints the Subcommittee Chair and its other members (total of 2 for an informal review and 3 for a formal review). The candidate can

suggest one member of this committee. The members are tenured and qualified by rank to vote on the School RPT Advisory Committee's recommendations regarding the candidate.

4.2 Informal Review Procedures

a. Purpose of informal reviews

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

b. First-year informal review

The first-year informal review is conducted during the Spring Semester at least four months after a candidate's start date, to assess achievement in research, teaching, and service, and to provide advice and mentorship to the candidate. The School Director shall review the candidate's CV, research, Course Feedback Forms, syllabi, and service, and shall meet with the candidate to discuss the review and any problems with research, teaching, or service. The School Director shall prepare a brief written report within two weeks of meeting with the candidate, to be 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 School Director, who shall add it to the RPT file.

c. Informal reviews after the first year

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

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

In the case of a candidate who has a shared appointment, the School Director shall notify the administrator of the other unit in writing of the informal review by April 15 and invite the unit to submit a report, which shall include that unit's perspective on the candidate's progress toward tenure. The School Director shall make the file available to the shared-appointment unit as soon as the file closes, and the shared-appointment unit will submit the report to the School Director no later than 10 business days following receipt of the file. Any such report will be added to the RPT file and a copy provided to the candidate.

No later than five (5) business days after the file closing date, the candidate may submit a written response to any of the file contents to the School 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.

The School RPT Advisory Committee Chair will appoint the members of the RPT Subcommittee to review the candidate's file, and write an RPT Subcommittee report that summarizes the candidate's progress toward meeting RPT expectations. The School RPT 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 School RPT Advisory Committee Chair, who will add it to the file.

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

After studying the candidate's file, the School Director shall add a report to the file. The candidate may provide a written response to the reports within five (5) business days, which the School Director shall place in the file. After the informal review, the School Director shall meet with the candidate to discuss the reports, as well as the candidate's progress toward tenure. The School Director will then forward reports to the Dean of the College of Science by the end of October. The informal review normally concludes at this point.

d. Triggering formal retention reviews

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

4.3 Formal Review Procedures

A mid-probationary formal retention review, a triggered formal retention review, a formal tenure review, and a formal promotion review (either to Associate Professor or to Professor) follow the same format, except that external evaluators are not required for mid-probationary formal reviews, but can be requested by the candidate.

a. School Director responsibilities

Determining upcoming RPT formal reviews. By February 1, the School Director will determine the obligatory RPT formal reviews for the upcoming academic year and will notify, in writing, the faculty members required to be reviewed. The School Director will also invite any other

tenure-line faculty members wishing to be reviewed for promotion or tenure to submit a letter requesting review to the School Director by April 1. For each candidate being reviewed, if required, the School Director will request nominations from the candidate for external evaluators, and request that the candidate submit the signed waiver/non-waiver form governing the confidentiality of external evaluations.

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

Soliciting External Evaluations. Normally by May 1, the RPT Subcommittee Chair in consultation with the School Director will send potential external evaluators a standard solicitation letter, including notification of whether the candidate has waived the right to see the evaluations, and will provide a copy of this approved RPT Statement. Typically on or before June 25, the RPT Subcommittee Chair will send relevant materials from the candidate's file to the external evaluators who have agreed to write a letter. External evaluators shall be asked to submit their evaluations no later than the file closing date.

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

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

Notifying and providing the file to a shared-appointment unit. In the case of a candidate who has a shared appointment, the School Director 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 School Director shall make the file available to the shared-appointment unit as soon as the file closes, and the shared-appointment unit will submit the report to the School Director no later than 10 business days following receipt of the file.

   b. **Peer Teaching Reviewers**

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

c. External Evaluators

The candidate must provide a list of 5 potential external evaluators and provide any information about potential conflicts by April 15. The RPT Subcommittee Chair, after consulting with the School Director, and considering the list of potential evaluators submitted by the candidate as well as any information about any conflicts, will initially contact potential reviewers via e-mail and obtain their agreement to provide the review letter. The RPT Subcommittee Chair will send official request letter to obtain no fewer than 5 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 or a triggered formal retention review; however, at least 2 external evaluators are required for a triggered formal retention review in which the candidate requests them or a majority of the School RPT Advisory Committee votes that the candidate's research is at issue.

For all reviews requiring external evaluators, at least1 external evaluator will be from the candidate's list, and at least 1 external evaluator will not be on the candidate's list.

External Evaluators may be used for more than one formal RPT review. Along with a list of all external evaluations included in the file, the School shall include a list of all potential external evaluators contacted, including the reason given by each potential external evaluator who declined.

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

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

e. RPT file content responsibilities and file closing date

File Closing. The candidate's file will close September 1, except for materials specified as being added subsequent to the closing date.

Candidate Responsibilities for File Contents. By June 15, the candidate shall submit the following items for inclusion in the file: (1) a current CV; (2) copies of publications and/or other forms of scholarly 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, teaching, and service; and (4) course syllabi. The candidate may choose to submit (5) other relevant materials, including Course Feedback Forms from outside the University, and (6) updates of materials up to the file closing date (see Appendix A). The date on which the candidate submits any updates should be clearly identified in the file.

School Responsibilities for File Contents. Prior to the file closing date, the School Director shall ensure that the file includes: (1) current University of Utah Course Feedback Forms, (2) available RPT-USAC and RPT-GSAC reports, (3) any written recommendations from School faculty and/or staff members or other interested individuals, (4) external evaluations (treated as confidential as appropriate), (5) peer teaching review reports, (6) the reports and recommendations from all past reviews since the last formal RPT review, as well as the candidate's CV at the time of the last formal review or at the time of appointment if no previous formal RPT review exists, and (7) any other required materials, such as evidence of faculty responsibility. (8) Any report received from a shared-appointment unit, must be submitted and included in the file no later than 10 business days following receipt of the file; and, any candidate response to that report must be submitted within five (5) business days following receipt of the report (see Appendix A).

f. Candidate's right to comment on file

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

g. School RPT Advisory Committee meeting and subsequent steps

RPT Subcommittee Action. This subcommittee will submit its report after the file closing date and after receiving any report from a shared-appointment unit (and any response from the candidate), but generally no later than September 30.

School RPT Advisory Committee Action. The full School 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. 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, teaching, and service. Committee members shall vote by secret ballot separately on a recommendation as to each RPT action for each candidate (e.g., a vote on recommendation for tenure is taken and recorded separately from a vote on recommendation for promotion of that candidate) (see voting eligibility for each action in 4.1.g above).

The School Director, Dean, and other administrative officials who are required by the Regulations to make their own recommendations in an administrative capacity may attend the meeting, and upon invitation by the majority vote of the committee, may submit evidence, judgments, and opinions, or participate in the discussion. By majority vote the committee may

move to executive session, from which nonvoting participants may be excluded (See Policy 6-303).

Absent School RPT Advisory Committee Members. Whenever practicable, the School Director shall advise all eligible School 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 of absent members.

Quorum. Quorum of the School 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, with prior notification, other extenuating circumstances shall not be counted toward the number required for a quorum.

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

Confidentiality. The School 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 with the Committee Chair.

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

Actions and Appeal Procedures Beyond the School 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 School Director for inclusion in the RPT file by June 15.

1. Curriculum Vitae. The CV should include at least the following:

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

   CVs should be dated. If the candidate updates their CV after it is sent to external evaluators, both versions of the CV should be included in the file and clearly identified.
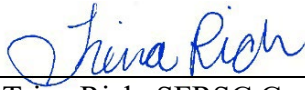
2. Personal Statement. This document includes the candidate's current activities and progress and accomplishments to date, research agenda, teaching philosophy, and future plans in research, teaching, and service.

3. Copies of research.

4. Course syllabi for all courses taught since the most recent formal review, or since appointment if no previous formal review exists. No more than five years of course syllabi need be included for any review.

5. Other relevant materials, if desired. These materials might include course feedback forms from other institutions or letters the candidate has received from faculty, staff, students, or other interested individuals. If the candidate has had personnel from the Center for Teaching Excellence observe teaching or review teaching materials, the candidate may wish to include a resulting evaluation in the file. When the candidate's role in particular research 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.

School's Responsibility

1. Peer Teaching Review reports based on review of teaching materials and observation of teaching.

2. All Course Feedback Forms from University of Utah courses taught since the last formal review (with a maximum of five years required for post-tenure promotion to Professor). For formal reviews for tenure, all evaluations since appointment.

3. Any report received from a shared-appointment unit, and any candidate's response.

4. All previous reports submitted by all voting levels from all formal and informal reviews since appointment or the last formal RPT review (whichever is more recent). Previous RPT-SAC reports need not be included. Include the CV at the time of the last formal RPT review (or appointment, if no previous formal RPT review exists).

5. Other relevant materials, such as signed recommendations from faculty, staff, or other interested individuals, consistent with University Regulations.

6. Evidence of faculty responsibility. Letters of administrative reprimand and the latest findings, decisions, or recommendations from University committees or officials arising from relevant concerns about the faculty member should also be included in the candidate's file. The cognizant Office for Faculty is available for consultation regarding this requirement.

7. External Evaluator Materials (when required), kept confidential if the candidate has waived the right to see the evaluations.
   a. Signed form evidencing candidate's waiver or retention of right to see the evaluations
   b. External evaluations
   c. Qualifications of evaluators, normally a brief CV
   d. Indication of who nominated each evaluator (candidate, School Director, or School RPT Advisory Committee Chair), which evaluators declined, and why those evaluators declined

8. Committee report(s).
   a. Report of RPT Subcommittee
   b. Any candidate's response to RPT Subcommittee report
   c. School RPT Advisory Committee report
   d. Any candidate's response to School RPT Advisory Committee report

9. School Director's report.

10. Any candidate response to the School Director's report and/or the School RPT Advisory Committee report.

Appendix B: Notices of Final Approval of RPT Statement

Review Committee Approval:

_____   February 6, 2025
Trina Rich, SFRSC Committee   Date
Secretary

Senior Vice President Approval:

_____   March 11, 2025
Sarah Projansky, Designee   Date